

Lucy Cavendish College Records Retention Schedule

What is a Records Retention Schedule?

A Records Retention Schedule is a list of records for which pre-determined destruction dates have been established. It is also known by a variety of other names including disposal schedules, and destruction schedules. The aim of an information audit is to establish those categories of records for which there is a known disposal date. The Retention Schedule brings all this information together in a single report.

Why is a Records Retention Schedule necessary?

A Records Retention Schedule is an essential component of an efficient and effective records management system. It protects the interests of the organisation and its stakeholders by ensuring that business records are kept for as long as they are needed to meet operational needs and to comply with legal requirements, and are then disposed of securely.

It has three objectives:

- disposal of those records which have completed their retention period
- storage of records which have to be kept temporarily after they are no longer needed for current business
- preservation of records which are of long-term or historic value

What are Retention Periods?

These are the periods of time, varying from a few months to permanency during which a record has to be maintained by an institution. This is usually determined by statute, legal, regulatory or business compliance, or where these do not apply, by a best assessment of risks involved in destruction against the costs of retention. The retention period may consist of:

- **A fixed number of years from creation**
Most financial records of organisations have to be kept for the current year + 6 years to meet VAT and Tax regulations, an effective total of 7 years. In this case the destruction date is known, fixed and can proceed without further intervention.
- **The life of the transaction + a fixed period of years**
Commercial contracts must be maintained for the life of the contract + 6 years. The exact number of years will depend upon the period of the contract.

This Records Retention Schedule has been modelled on the *JISC Study of the Records Lifecycle* which provides guidance on retention of records typically generated by further and higher education institutions. For each business activity, the Schedule lists common groups of records which relate to individual sub-activities or processes.

The Schedule applies to all types of records in all media (e.g. paper and electronic documents, databases, audio-visual materials).

Some records have no significant operational, informational or evidential value and can be destroyed as soon as they have served their primary purpose. Some guidance on handling these records to ensure that they are disposed of promptly in the normal course of business is given in Appendix A.

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1 Teaching

The function of providing teaching to deliver the University's taught programmes.

1.1 Taught Student Academic Support

The activities involved in monitoring individual students' academic progress and providing feedback, guidance and support, e.g. providing systematic feedback to students on their academic progress; providing students with general academic advice and guidance; providing advice and guidance to students whose progress is unsatisfactory; providing advice and guidance to students who are considering suspending or terminating their studies.

Reference	Description	Retention period	Owner
1	Records documenting feedback on academic progress, and general academic guidance and support, given to individual taught students.	Completion of student's programme. Review for transfer to student file	Director of Studies

2 Student Administration
The function of recruiting and administering students.

2.1 Student Recruitment
The activities involved in recruiting students to study at the College, e.g. designing and conducting student recruitment campaigns (e.g. advertising); designing and organising student recruitment events (e.g. open days); handling enquiries from prospective students; organising communications with students and potential students; analysing recruitment and retention data.

Reference	Description	Retention period	Owner
1	Records documenting the design, conduct and summary results of student recruitment campaigns (e.g. advertising).	Completion of campaign + 5 years. Review for archival value	Admissions Tutor
2	Records documenting the design, organisation and summary results of student recruitment events (e.g. open days).	Completion of event + 5 years. Review for archival value	Admissions Tutor
3	Records documenting the handling of enquiries from prospective students.	Current academic year + 1 year	Admissions Officer
4	Records containing summaries and analyses of enquiry, recruitment and retention data.	Current academic year + 5 years	Admissions Officer

2.2 Student Admission

The activities involved in admitting students to the College, e.g. handling applications for admission; managing overall student numbers.

Reference	Description	Retention period	Owner
1	Records documenting the handling of applications for admission: successful applications.	End of student relationship + 2 years. Weed & transfer to Archive	Admissions Officer
2	Records documenting the handling of applications for admission: unsuccessful applications.	Between 6 & 12 months from application deadline ¹	Admissions Officer
3	Records containing data on overall student numbers.	Current academic year + 1 year	Admissions Officer

2.3 Student Registration

The activities involved in registering students on taught or research programmes, e.g. advising students on selection of programmes and courses; confirming payment of fees, including validating evidence of awards which include payment of fees; providing information and advice on funding opportunities for students.

Reference	Description	Retention period	Owner
1	Records documenting the matriculation of individual students.	End of student relationship + 6 years. Transfer (Matriculation Lists only) to Archive	Senior Tutor's Assistant

¹ Admissions Forum guidance: files of unsuccessful applicants to be destroyed no earlier than 6 months, & no later than 12 months, after application deadline

2.4 Student Induction

The activities involved in designing and organising induction programmes for new students.

Reference	Description	Retention period	Owner
1	Records documenting the design, conduct and review of induction programmes for new students.	Completion of induction programme + 5 years. Review for archival value	Admissions Tutor
2	Records documenting the administration of induction programmes and events for new students.	Current academic year + 1 year	Admissions Officer

2.5 Student Records Administration

The activities involved in:

- **Compiling and maintaining complete and accurate records of the progress and conduct of students throughout their relationship with the College**
- **Making students' records, and aggregated student data and analyses available to support College and University activities**

Activities include setting up student records for new students; collecting data and updating student records in accordance with College rules and regulations; conducting standard analyses of data on students; conducting ad hoc analyses of data to meet specific requirements; producing transcripts for current and former students; confirming awards and providing general references for students.

Reference	Description	Retention period	Owner
1	Records containing personal data on individual students.	End of student relationship + 2 years. Weed & transfer to Archive	Senior Tutor's Assistant

2	Records documenting an individual funding application and the administration of any subsequent award.	End of student relationship + 2 years	Senior Tutor's Assistant
3	Records containing standard analyses of data from individual students' records (e.g. data returns to University).	Current academic year + 5 years. Review for archival value	Senior Tutor's Assistant
4	Records documenting the handling of individual students' requests for statements of results/transcripts.	Last action on request + 1 year	Senior Tutor's Assistant
5	Records documenting the handling of requests for confirmation of individual students' awards, attendance or conduct from employers and other educational institutions.	Last action on request + 1 year	Senior Tutor's Assistant

2.6 Award Ceremony Administration
The activities involved in organising awards ceremonies.

Reference	Description	Retention period	Owner
1	Records documenting the organisation of award ceremonies.	Completion of ceremony + 1 year	Senior Tutor's Assistant
2	Records documenting the mailing of award certificates to students who do not attend ceremonies.	Completion of ceremony + 1 year	Senior Tutor's Assistant

2.7 Student Relations Management

The activities involved in managing the College's relationship with its student body, e.g. establishing and operating fellow-student liaison committees.

Reference	Description	Retention period	Owner
1	Records documenting the handling of suggestions from individual students.	Last action on suggestion + 1 year	President's Secretary
2	Records documenting the establishment and operation of fellow-student liaison committees.	Life of committee + 3 years. Review for archival value	Registrar

3 Student Support Services Management

The function of providing services to support students throughout their relationship with the College. Includes welfare services; accommodation services; counselling services; health services; catering services; childcare services; sports and leisure services.

3.1 Student Support Service Promotion

The activities involved in promoting a student support service.

Reference	Description	Retention period	Owner
1	Records documenting the promotion of a student support service, e.g. the design and delivery of the <i>Blue Book</i> .	While current. Review for archival value	Senior Tutor's Assistant

3.2 Student Support Service Delivery

The activities involved in delivering a student support service.

Reference	Description	Retention period	Owner
1	Records containing notes of tutorial interviews with individual students.	End of student relationship + 1 year	Tutor
2	Records documenting the occupancy and billing of accommodation for individual students.	Current financial year + 6 years	Asst. Accom. & Conf. Officer*

*Assistant Accommodation & Conference Officer is responsible for producing room lists and tenancy agreements. The Student Finance Officer & Development Administrator is responsible for the billing and collection of rents.

4 Related Companies Management

The function of establishing related companies which are wholly or partly-owned by the College, and over which the College has control or exercises a substantial degree of influence. They include companies formed to provide commercial services.

4.1 Related Company Proposal Development

The activities involved in developing and evaluating a proposal to form a related company, e.g. drawing up a preliminary business plan for the proposed company; analysing alternative ways of meeting the College's objectives.

Reference	Description	Retention period	Owner
1	Records documenting the development and evaluation of a proposal to form a related company: where a decision is made to proceed.	Life of company + 10 years. Review for archival value	Bursar
2	Records documenting the development and evaluation of proposals for the formation of a related company: where a decision is made not to proceed.	Last action on proposal + 5 years. Review for archival value	Bursar

4.2 Related Company Formation

The activities involved in forming a related company by incorporating a new company or by acquiring an existing company e.g. determining the constitution of the company; determining the control framework of the company and formalising the relationship between the College and the company through a Memorandum of Understanding; appointing a Nominated Officer to act as the link between the College and the company; where appropriate, drawing up a Shareholders Agreement; validating and approving the company's business plan; ensuring the establishment of an appropriate governance structure and rules for the company; ensuring the establishment of appropriate management structures and operating procedures for the company; ratifying the appointment of directors of the company.

Reference	Description	Retention period	Owner
1	Records documenting the formation of a related company.	Life of company + 10 years. Review for archival value	Bursar

4.3 Related Company Management

The activities involved in ensuring that a related company is conducting business in line with the established agreements and company law.

Reference	Description	Retention period	Owner
1	Records documenting action by the College to ensure that a related company is conducting business in line with established agreements and company law.	Current year + 5 years. Review for archival value	Bursar

4.4 Related Company Review

The activities involved in reviewing the performance of a related company, e.g. conducting regular reviews of performance against plans, including budgets; ensuring that internal and external audits are carried out and the results reported to the College; ensuring that proper financial records are being kept by the company, and that proper accounts are prepared; ensuring that the company has proper procedures in place to comply with legislation and regulations relevant to its activities and operations.

Reference	Description	Retention period	Owner
1	Records documenting the conduct and results of regular reviews of a related company's performance against plans, including budgets.	Current year + 5 years	Bursar
2	Records containing reports of the results of internal and external audits of a related company.	Current year + 5 years	Bursar
3	Records documenting action taken by the College to ensure that a related company has proper operating procedures in place, and that they are being implemented.	Current year + 5 years	Bursar
4	Annual Report & Accounts of related company	Life of company + 10 years. Review for archival value	Bursar

4.5 Related Company Disposal

The activities involved in disposing of the College's investment in a related company by winding up or selling the company (or its interest in it).

Reference	Description	Retention period	Owner
1	Records documenting the disposal of a related company (or the College's interest in it) by winding-up or sale.	Disposal + 10 years. Review for archival value	Bursar

5 Commercial Services Management

The function of managing services provided by the College to students, staff, the local community, the general public or businesses on a commercial basis to generate income, e.g. conference and banqueting services.

5.1 Commercial Service Promotion

The activities involved in promoting a commercial service, e.g. designing, producing and distributing promotional materials.

Reference	Description	Retention period	Owner
1	Promotional materials for conference and banqueting.	While current. Review for archival value	Domestic Bursar

5.2 Commercial Service Delivery

The activities involved in delivering a commercial service, e.g. preparing service proposals for prospective customers; negotiating service agreements/contracts with customers.

Reference	Description	Retention period	Owner
1	Records documenting the hiring of conference and banqueting facilities.	End of hire period + 1 year	Domestic Bursar

5.3 Commercial Service Customer Relations Management

The activities involved in managing the College's relationships with the customers of a commercial service, e.g. handling customer complaints; conducting customer surveys.

Reference	Description	Retention period	Owner
1	Records documenting unsolicited customer feedback on the service, the internal handling of this feedback and the responses provided.	Last action on feedback + 3 years	Domestic Bursar
2	Records documenting customer complaints about the service, the internal handling of these complaints and the responses provided.	Last action on complaint + 6 years	Domestic Bursar

6 Public Relations Management

The function of raising and maintaining the College’s public profile, and of managing its relationships with groups or individual members of the public.

6.1 Public Relations Event Management

The activities involved in organising public events and co-ordinating the College’s input to, or participation in, events organised by others to enhance its public profile. Public events include ceremonies, celebrations, exhibitions, open days, artistic performances and sporting events. Activities include representing the College officially at events.

Reference	Description	Retention period	Owner
1	Records documenting the planning and impact/results of public events.	Completion of event + 3 years	President’s Secretary & Registrar*
2	Records documenting the organisation and administration of public events.	Completion of event + 1 year	President’s Secretary

* Registrar has responsibility for records documenting the conduct and proceedings of meetings organised to plan for events

6.2 Donation Management

The activities involved in managing the College’s relationship with donors of money, property or other items to the College.

Reference	Description	Retention period	Owner
1	Records documenting the management of the College’s relationship with donors to the College.	Duration of relationship + 6 years. Review for archival value	Head of Develop.

6.3 Honorary Fellowship Management

The activities involved in conferring honorary fellowships, e.g. liaising with the recipients of honorary fellowships; organising honorary fellowship ceremonies.

Reference	Description	Retention period	Owner
1	Records documenting nominations for honorary fellowships, and decisions made on individual nominations.	Current academic year + 10 years. Review for archival value	Registrar
2	Records documenting the organisation of honorary awards ceremonies.	Completion of ceremony + 1 year	President's Secretary

7 Alumnae Relations Management

The function of maintaining and fostering the College’s relationship with its former alumnae.

7.1 Alumnae Relations Strategy Development

The activities involved in developing and establishing the College’s strategy for maintaining and fostering its relationship with its alumnae.

Reference	Description	Retention period	Owner
1	Records documenting the development and establishment of the College’s alumnae relations strategy.	Superseded + 5 years. Review for archival value	Head of Develop.

7.2 Alumnae Data Administration

The activities involved in managing personal and other data on alumnae which are held by the College for the purpose of maintaining its relationship with its alumnae.

Reference	Description	Retention period	Owner
1	Records containing personal data on individual alumnae.	While current	Head of Develop.
2	Summary (anonymised) statistical records of alumnae.	Current year + 10 years. Review for archival value	Head of Develop.

7.3 Alumnae Communication Management

The activities involved in managing the College's communications with its alumnae, e.g. planning and issuing communications to alumnae, both one-off (e.g. notices of new alumnae benefits or services) and regular (e.g. magazines); conducting surveys of alumnae.

Reference	Description	Retention period	Owner
1	Records documenting the design, planning and production of official alumnae communications.	Issue of communication + 1 year	Head of Develop.
2	Alumnae communications.	Issue + 1 year. Transfer to Archive	Head of Develop.
3	Records documenting enquiries from alumnae and the responses provided.	Last action on enquiry + 1 year	Head of Develop.
4	Records documenting unsolicited feedback from alumnae, the internal handling of this feedback and the responses provided.	Last action on feedback + 1 year	Head of Develop.
5	Records documenting the design and conduct of surveys of alumnae.	Completion of survey + 3 years. Review for archival value	Head of Develop.
6	Results of alumnae surveys: individual responses.	Completion of analysis of survey responses	Head of Develop.
7	Results of alumnae surveys: summaries and analyses of responses.	Completion of survey + 3 years. Review for archival value	Head of Develop.
8	Records documenting complaints from alumnae, the internal handling of these complaints and the responses provided.	Last action on complaint + 6 years	Head of Develop.

7.4 Alumnae Relations Event Management

The activities involved in supporting and organising official events for alumnae.

Reference	Description	Retention period	Owner
1	Records documenting the planning and impact/results of College events for alumnae.	Completion of event + 3 years. Review for archival value	Head of Develop.
2	Records documenting the organisation and administration of College events for alumnae.	Completion of event + 1 year	Head of Develop.

7.5 Alumnae Support

The activities involved in providing support to alumnae, both individually and through the Alumnae Association, e.g. providing financial and other support to the Alumnae Association; brokering contact with/between alumnae.

Reference	Description	Retention period	Owner
1	Records documenting requests from the Alumnae Association for financial or other support, the internal handling of these requests and the responses provided.	Last action on request + 1 year	Head of Develop.
2	Records documenting the administration of financial and other support to the Alumnae Association.	Current financial year +1 year	Head of Develop.
3	Records documenting requests for contact details for alumnae, action taken and the responses provided.	Last action on request + 1 year	Head of Develop.

8 Fundraising

The function of raising revenue additional to that provided by the main funding bodies, to support and develop the College's estate, activities and operations.

8.1 Fundraising Strategy Development

The activities involved in developing and establishing the College's fundraising strategy.

Reference	Description	Retention period	Owner
1	Records documenting the development and establishment of the College's fundraising strategy.	Superseded + 5 years. Review for archival value	Head of Develop.

8.2 Fundraising Planning

The activities involved in developing plans to implement the College's fundraising strategy.

Reference	Description	Retention period	Owner
1	Records documenting the formulation of plans for the implementation of the College's fundraising strategy.	Superseded + 5 years. Review for archival value	Head of Develop.

8.3 Fundraising Performance Management

The activities involved in managing the College’s performance against the plans for implementing its fundraising strategy, e.g. developing performance indicators and measurement mechanisms; measuring, monitoring and analysing performance; conducting formal reviews of performance and responding to the results, including preparing and implementing action plans to address under-performance or other issues raised.

Reference	Description	Retention period	Owner
1	Records containing data on, and analyses of, performance against the plans for the implementation of the College’s fundraising strategy.	Current year + 1 year	Head of Develop.
2	Records containing reports of performance against the plans for the implementation of the College’s fundraising strategy.	Current year + 5 years	Head of Develop.
3	Records documenting the conduct and results of audits and reviews of the fundraising function, and responses to the results.	Current year + 5 years. Review for archival value	Head of Develop.

8.4 Fundraising Policy Development

The activities involved in developing and establishing the College’s fundraising policies.

Reference	Description	Retention period	Owner
1	Records documenting the development and establishment of the College’s fundraising policies.	Superseded + 5 years. Review for archival value	Head of Develop.

8.5 Fundraising Procedures Development
The activities involved in developing the College's fundraising procedures.

Reference	Description	Retention period	Owner
1	Records documenting the development of the College's fundraising procedures.	Superseded + 3 years.	Head of Develop.

8.6 Fundraising Campaign Management
The activities involved in designing, conducting and reviewing the effectiveness of fundraising campaigns.

Reference	Description	Retention period	Owner
1	Records documenting the design, conduct and summary results of fundraising campaigns.	Last action on campaign + 5 years. Review for archival value	Head of Develop.
2	Records containing details of individual responses to fundraising campaigns.	Completion of analysis of data	Head of Develop.

9 Publishing

The function of producing publications for distribution internally or externally. Publications include material published in any medium and format.

9.1 Publication Management

The activities involved in managing the design, production and distribution of individual publications e.g. designing publications; commissioning, writing and editing content for publications; distributing publications; authorising disposal of surplus or redundant stocks of publications.

Reference	Description	Retention period	Owner
1	Records documenting the design, commissioning, editing and production of publications.	Issue of publication + 1 year	Registrar*
2	Printed publication.	Issue + 1 year. Transfer to Archive	Registrar*

* The Admissions Tutor has responsibility for publications relating to student admissions. The Head of Development has responsibility for publications relating to fundraising.

10 Strategic Planning and Performance Management

The function of developing and establishing the College’s strategic plan and managing its overall performance against the plan.

10.1 Strategic Planning

The activities involved in developing the College’s strategic plan.

Reference	Description	Retention period	Owner
1	Records documenting the development of the College’s overall strategic plan.	Superseded + 10 years. Review for archival value	President

10.2 Strategic Performance Management

The activities involved in monitoring the College’s overall performance against the strategic plan, reviewing under-achievement to inform the ongoing development of the strategic plan.

Reference	Description	Retention period	Owner
1	Records containing data on, and analyses of, the College’s performance against its strategic plan.	Current academic year + 5 years	President
2	Records containing reports on the College’s performance against its strategic plan.	Current academic year + 10 years. Review for archival value	President

11 Governance

The function of developing the College’s corporate governance structure and rules, and in conducting business in accordance with those rules.

11.1 Legal Framework Development

The activities involved in establishing and, where appropriate, changing the legal status of the College.

Reference	Description	Retention period	Owner
1	Records documenting the establishment and development of the College’s legal framework.	Life of College. Review for archival value	President

11.2 Governance Structure Development

The activities involved in developing and establishing the College’s governance structure and rules.

Reference	Description	Retention period	Owner
1	Records documenting the establishment and development of the College’s governance structure.	Life of College. Review for archival value	President

11.3 Governing Body Management

The activities involved in managing the work of the governing body, e.g. appointing members of the governing body; conducting and servicing meetings of the governing body.

Reference	Description	Retention period	Owner
1	Records documenting the appointment of members to the Governing Body.	Termination of appointment + 6 years. Review for archival value	Registrar
2	Records documenting the organisation of meetings of the Governing Body.	Current year + 1 year	Registrar
3	Records documenting the conduct and proceedings of meetings of the Governing Body.	Current year + 50 years. Review for archival value	Registrar
4	Register of interests of members of the Governing Body	Termination of appointment + 6 years	Bursar

11.4 Committee Management

The activities involved in managing the work of the committees that support the governing body, e.g. establishing terms of reference, membership and mode of operation of committees; appointing members of committees; conducting and servicing meetings of committees.

Reference	Description	Retention period	Owner
1	Records documenting the development and establishment of terms of reference for the College's committees.	Life of Committee. Review for archival value	Registrar
2	Records documenting the appointment of members to committees.	Termination of appointment + 5 years. Review for archival value	Registrar
3	Records documenting the organisation of meetings of committees.	Current year + 1 year	Registrar
4	Records documenting the conduct and proceedings of meetings of the committees.	Current year + 50 years. Review for archival value	Registrar

11.5 College Officers Appointments Management

The activities involved in appointing and designating College Officers.

Reference	Description	Retention period	Owner
1	Records documenting the appointment and designation of College Officers.	Termination of appointment + 5 years. Review for archival value	Registrar

12 Risk Management

The activities involved in managing identified risks to the viability or success of the College.

12.1 Risk Identification and Assessment

The activities involved in identifying risks to the viability or success of the College, and assessing the likelihood of occurrence and the potential consequences.

Reference	Description	Retention period	Owner
1	Records documenting identified risks to the College and assessments of those risks.	Superseded + 1 year	Bursar

12.2 Business Continuity Planning

The activities involved in anticipating incidents or events that would disrupt the College’s operations and developing response and recovery plans.

Reference	Description	Retention period	Owner
1	Records documenting the formulation, testing and maintenance of disaster response and recovery plans.	Superseded + 1 year	Bursar

13 Audit

The function of conducting audits of the College’s affairs and operations for internal control purposes and to ensure compliance with institutional, industry or legal requirements. Audits include both internal and external audits.

13.1 Audit Management

The activities involved in managing the conduct of audits. Audits include internal audits undertaken by specialist staff and independent audits undertaken by external auditors commissioned by the College, or by the National Audit Office. Activities include planning audits; conducting internal audit investigations; writing and delivering internal audit reports; specifying requirements for independent audits; facilitating the conduct of independent audits; reviewing and responding to audit reports, including drawing up action plans to address issues raised.

Reference	Description	Retention period	Owner
1	Records documenting the conduct and results of audits, and action taken to address issues raised.	Completion of audit + 5 years. Review for archival value	Bursar*

*Or nominated Officer

14 Legal Affairs Management

The function of managing the College’s legal affairs.

14.1 Legal Affairs Management Policy Development

The activities involved in developing and establishing the College’s policies for the management of its legal affairs.

Reference	Description	Retention period	Owner
1	Records documenting the development and establishment of the College’s policies on legal affairs and the acquisition/provision of legal services.	Superseded + 5 years. Review for archival value	Bursar

14.2 Contracts and Agreements Management

The activities involved in managing the processes associated with the negotiation, establishment, maintenance and review of contracts and agreements.

Reference	Description	Retention period	Owner
1	Records documenting legal support for the negotiation, establishment and review of contracts and agreements between the College and third parties: agreements and contracts under seal.	Termination of contract + 12 years. Review for archival value	Bursar
2	Records documenting legal support for the negotiation, establishment and review of contracts and agreements between the College and others: other contracts and agreements.	Termination of contract + 6 years. Review for archival value	Bursar

14.3 Legal Claims Management

The activities involved in handling claims by or against the College which do not proceed to litigation or settlement by an agreement.

Reference	Description	Retention period	Owner
1	Records documenting the provision of legal support and representation for the College in dealing with claims by or against the College which do not proceed to litigation or settlement by an agreement.	Settlement of claim + 6 years OR Withdrawal of claim + 6 years. Review for archival value	Bursar

14.4 Litigation Management

The activities associated with managing legal actions or legal proceedings between the College and other parties in a court or other tribunal, e.g. briefing counsel; providing documents required by a court; consulting with other agencies.

Reference	Description	Retention period	Owner
1	Records documenting litigation between the College and third parties where legal precedents are set.	Life of College. Review for archival value	Bursar
2	Records documenting litigation between the College and third parties which does not set legal precedents.	Settlement of case + 6 years. Review for archival value	Bursar

14.5 Legal Interpretation and Advice Provision

The activities associated with interpreting legal provisions that apply to the College and providing opinions and advice to the College on legal matters.

Reference	Description	Retention period	Owner
1	Records documenting legal advice requested by, and provided to, the College concerning: - interpretation of legislation affecting the College's legal framework, governance, responsibilities or operations; - proposals for new legislation affecting the College's legal framework, governance, responsibilities or operations; - the College's relationships with government bodies and HE regulators; - industrial relations issues; - health, safety and environmental issues.	Life of College. Review for archival value	Bursar
2	Records documenting legal advice on other matters requested by, and provided to, the College.	Superseded + 5 years	Bursar

15 Health and Safety Management

The function of managing the impact of the College’s operations on the health and safety of its staff, students and others, and ensuring compliance with health and safety legislation, regulations and standards.

15.1 Health & Safety Management Policy Development

The activities involved in developing and establishing the College’s health and safety management policies.

Reference	Description	Retention period	Owner
1	Records documenting the development and establishment of the College’s health and safety management policies.	Superseded + 50 years. Review for archival value	Bursar

15.2 Health & Safety Management Procedures Development

The activities involved in developing the College’s health and safety management procedures.

Reference	Description	Retention period	Owner
1	Records documenting the development of the College’s health and safety management procedures.	Superseded + 50 years	Bursar

15.3 Health & Safety Consultation

The activities involved in consulting staff, either directly or through representatives, on the management of health and safety matters within the College.

Reference	Description	Retention period	Owner
1	Records documenting the election of representatives of employee safety under the Health and Safety (Consultation with Employees) Regulations 1996.	Termination of appointment + 1 year	Bursar
2	Records documenting consultations and other communications with representatives of employee safety elected under the Health and Safety (Consultation with Employees) Regulations 1996, or with all employees directly.	Current year + 50 years	Bursar

15.4 Health & Safety Information, Instruction & Training Provision

The activities involved in providing information, instruction and training on health and safety matters to staff, students and others who use the College's facilities.

Reference	Description	Retention period	Owner
1	Records documenting the provision of information, instruction and training for employees, students and others on health and safety in the College's premises.	Current year + 5 years	Bursar
2	Records documenting the content of information and instruction on health and safety matters provided for members of the public and others who have legitimate access to College premises, and the methods of delivery.	Superseded + 5 years	Bursar

15.5 Health & Safety Hazard Identification & Risk Assessment

The activities involved in identifying health and safety hazards in the College premises or caused by its operations, conducting risk assessments to establish the likelihood and consequences of those risks and implementing appropriate measures to eliminate the risks or to mitigate their consequences.

Reference	Description	Retention period	Owner
1	Records documenting the identification of general health and safety hazards to employees, and others on College premises, and the conduct and results of risk assessments in relation to plant, equipment, machinery and processes.	Elimination of risk + 5 years OR Updating of risk assessment + 5 years	Bursar
2	Records documenting the College's health and safety arrangements for the planning, organisation, control, monitoring and review of preventive and protective measures (as required by the Regulations).	Review of arrangements + 5 years	Bursar

15.6 Health & Safety Inspection

The activities involved in conducting health and safety inspections of the College's premises and operations.

Reference	Description	Retention period	Owner
1	Records documenting the conduct and results of health and safety inspections of the College's land, buildings, facilities or operations, and action taken to address issues raised.	Current year + 5 years	Bursar
2	Records documenting the examination, testing and repair of plant and equipment.	Date of examination/test/repair + 5 years	Bursar*

* Domestic Bursar for fire alarms and extinguishers in off-site properties.
ICT Manager for electrical equipment and VDU Assessments

15.7 Health & Safety Incident Recording, Reporting & Investigation

The activities involved in recording and investigating accidents, dangerous occurrences and outbreaks of disease on the College's premises, and the reporting of reportable incidents to the enforcing authorities.

Reference	Description	Retention period	Owner
1	Records documenting the recording of accidents, dangerous occurrences and outbreaks of notifiable diseases on College premises.	Date of recording + 3 years	HR & C Officer
2	Records documenting the investigation of accidents, dangerous occurrences and outbreaks of notifiable diseases on College premises.	Closure of investigation + 40 years	Bursar
3	Records documenting the notification and reporting of reportable accidents, dangerous occurrences and outbreaks of notifiable diseases to enforcing authorities.	Date of notification + 3 years	Bursar

15.8 Emergency Planning

The activities involved in planning for the handling of health and safety incidents on the College premises which require the involvement of specially trained staff and/or the public emergency services, e.g. assessing requirements for first-aiders; appointing and training first-aiders; assessing requirements for fire-fighting, first aid and other emergency response equipment; making arrangements with external emergency service organisations for the provision of first aid, emergency medical assistance, fire-fighting and rescue services.

Reference	Description	Retention period	Owner
1	Records documenting assessment of requirements for fire-fighting systems and equipment.	Review of assessment + 5 years	Bursar
2	Records documenting the appointment of official first aiders.	Termination of appointment	HR & C Officer
3	Records documenting the provision of approved training (specifically related to their functions as first aiders) for first aiders.	Termination of appointment + 5 years	HR & C Officer
4	Records documenting assessment of requirements for first aid equipment.	Re-assessment + 5 years	Bursar
5	Records documenting arrangements with external emergency service organisations.	Review of arrangements + 5 years	Bursar

16 Estate Management
The function of managing the College's land and buildings.

16.1 Estate Strategy Development
The activities involved in developing and establishing the College's estate strategy.

Reference	Description	Retention period	Owner
1	Records documenting the development and establishment of the College's estate strategy.	Superseded + 10 years. Review for archival value	Bursar

16.2 Property Acquisition
The activities involved in acquiring ownership or use of properties by purchase, transfer, donation, lease or rental.

Reference	Description	Retention period	Owner
1	Records documenting the acquisition of ownership of properties.	Ownership of Property	Bursar
2	Deeds and certificates of title for properties owned by the College.	Ownership of Property. Transfer to new owner when property is disposed of	Bursar
3	Records documenting negotiations for properties where the property was not acquired.	Closure of negotiations + 6 years	Bursar
4	Records documenting the acquisition of use of properties by lease or rental.	Disposal of property + 6 years	Bursar

16.3 Property Development

The activities involved in developing properties to meet changing College needs or to comply with changing statutory or regulatory requirements, e.g. changing the use of properties; constructing new properties; undertaking conservation or restoration work on existing properties; extending, altering and reconfiguring existing properties. Activities include undertaking feasibility studies and consultations; developing specifications; drawing up building plans; obtaining planning consents; carrying out inspections of completed works and obtaining necessary certifications.

Reference	Description	Retention period	Owner
1	Records documenting the development of properties.	Ownership of Property. Transfer to new owner when property is disposed of	Bursar

16.4 Property Maintenance

The activities involved in maintaining properties, e.g. conducting general inspections of properties; carrying out routine maintenance and repairs to properties; preventing and exterminating pests from properties; undertaking 'making good' works prior to disposal of properties.

Reference	Description	Retention period	Owner
1	Records documenting inspection, maintenance and repair of properties.	Completion of work + 2 years	Domestic Bursar
2	Records documenting the history of major maintenance works on properties.	Ownership of Property. Transfer to new owner when property is disposed of	Bursar

3	Records documenting the removal of hazardous materials from properties.	Removal of material + 5 years	Domestic Bursar
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16.5 Property Disposal

The activities involved in disposing of properties no longer required by the College through sale, transfer, termination of lease, auction, donation or demolition, e.g. obtaining valuations; undertaking surveys.

Reference	Description	Retention period	Owner
1	Records documenting the disposal of properties.	Disposal of property + 6 years	Bursar

16.6 Property Compliance Management

The activities associated with complying with statutory or regulatory requirements relating to the ownership, occupancy and management of properties e.g. conducting required internal inspections; facilitating inspections by enforcing authorities; ensuring the proper maintenance of legally required certification (e.g. fire certificates).

Reference	Description	Retention period	Owner
1	Records documenting the conduct and results of inspections of properties by the enforcing authorities, and action taken to address issues raised.	Completion of subsequent inspection	Bursar
2	Fire Certificates	Issue of new certificate	Bursar

16.7 Property Security Management

The activities involved in planning, implementing and reviewing measures to protect properties from accidental or intentional damage and to prevent unauthorised access, e.g. conducting security inspections; conducting routine surveillance operations (e.g. guarding, patrol and CCTV surveillance) to prevent and detect unauthorised access to properties; responding to, and investigating, security breaches or incidents.

Reference	Description	Retention period	Owner
1	Records documenting the conduct and results of security inspections of properties, and action taken to address issues raised.	Completion of subsequent inspections	Bursar
2	Records documenting property access controls to secure areas (e.g. access registers, key registers, security data logs).	Creation + 2 years	Bursar
3	Records of security passes issued to visitors.	Expiry of pass + 1 year	Head Porter
4	Records documenting the conduct of routine security surveillance of properties.	Creation + 1 month	Head Porter
5	Records documenting security breaches or incidents, and action taken.	Last action on incident + 1 year	Bursar

16.8 Facility Development

The activities involved in designing and fitting-out facilities (offices, teaching rooms, storage facilities, grounds and common areas) within buildings. Activities include specifying facilities requirements; drawing up interior design schemes; decorating; laying floor coverings; installing fixtures and fittings (e.g. lighting, floor coverings, internal decoration, furniture and furnishings).

Reference	Description	Retention period	Owner
1	Records documenting the specification of requirements for facilities.	Next fit-out + 1 year	Domestic Bursar
2	Records documenting the development of interior design and fit-out schemes.	Next fit-out + 1 year	Domestic Bursar
3	Records documenting the carrying out of interior decoration and fitting-out works.	Next fit-out + 1 year	Domestic Bursar

16.9 Facility Maintenance

The activities involved in maintaining the internal decoration, fixtures and fittings in facilities, e.g. inspecting facilities; carrying out planned preventive maintenance works and repairs.

Reference	Description	Retention period	Owner
1	Records documenting the conduct and results of inspections of facilities, and action taken to address issues raised.	Completion of subsequent inspection	Domestic Bursar
2	Records documenting the carrying out of planned preventive maintenance works within facilities.	Current year + 1 year	Domestic Bursar

3	Records documenting the carrying out of repairs to interior decoration, fixtures and fittings.	Current year + 1 year	Domestic Bursar
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16.10 Facility Relocation Management

The activities involved in relocating facilities within the same building, or to other buildings.

Reference	Description	Retention period	Owner
1	Records documenting plans for the relocation of facilities within buildings or to other buildings.	Completion of relocation + 10 years	Bursar
2	Records documenting the physical relocation of facilities.	Completion of relocation + 2 years	Bursar

17 Finance Management

The function of managing the College's financial resources.

17.1 Financial Audit

The activities involved in conducting and responding to internal and external audits of the College's financial affairs, e.g. conducting internal audits; facilitating the conduct of external audits; reviewing and responding to the results of audits, including preparing and implementing action plans to address issues raised.

Reference	Description	Retention period	Owner
1	Records documenting the conduct and results of financial audits, and action taken to address issues raised.	Last action on audit + 6 years	Bursar

17.2 Financial Accounting

The activities involved in processing, recording, classifying and analysing information on financial transactions between the College and third parties, and between the College and its employees, e.g. accounting for income; accounting for expenditure; accounting for payments (other than salaries) to employees; accounting for payments to honorary appointees and other third parties.

Reference	Description	Retention period	Owner
1	Records documenting the issue of sales invoices and the processing of incoming payments.	Current financial year + 6 years	Finance Manager
2	Records documenting the receipt and payment of purchase invoices.	Current financial year + 6 years	Finance Manager
3	Records documenting the payment and/or reimbursement of employees' expenses.	Current financial year + 6 years	Finance Manager

4	Records documenting the payment of expenses to third parties, e.g. supervision fees.	Current financial year + 6 years	Finance Manager
5	Records documenting the handling of petty cash.	Current financial year + 6 years	Finance Manager
6	Records documenting the receipt and processing of students' fees.	Current financial year + 6 years	Student Finance Officer
7	Records documenting the preparation of annual accounts.	Current financial year + 6 years	Bursar
8	Annual Accounts.	Current financial year + 6 years. Published accounts transferred to Archive	Bursar

17.3 Management Accounting

The activities involved in monitoring and controlling the use of the College's financial resources.

Reference	Description	Retention period	Owner
1	Records documenting analyses of the internal deployment of the College's financial resources.	Current financial year + 1 year	Finance Manager

17.4 Statutory Accounting
The activities involved in preparing the College's statutory accounts.

Reference	Description	Retention period	Owner
1	Records documenting the preparation of the College's statutory accounts.	Current financial year + 6 years	Finance Manager

17.5 Internal Accounting
The activities involved in processing financial transactions between operating units, i.e. internal cross-charging.

Reference	Description	Retention period	Owner
1	Records documenting the processing of internal accounting transactions between operating units (i.e. cross-charges).	Current financial year + 1 year	Finance Manager

17.6 Funding Administration

The activities involved in administering funds provided to the College by third parties for specific purposes. Funds include funding allocations from the appropriate statutory funding body; scholarship funds provided by businesses, charities or private individuals. Activities include acknowledging receipt of funds; monitoring the use of funds and ensuring compliance with any prescribed or agreed terms and conditions; providing monitoring and other reports and information on the use of funds to funding providers.

Reference	Description	Retention period	Owner
1	Records documenting the administration of annual funding allocations from the appropriate statutory funding body.	Current financial year + 10 years	Finance Manager
2	Records documenting the administration of scholarship funds.	Current financial year + 6 years	Finance Manager

17.7 Budget Management

The activities involved in preparing and managing the College's annual revenue and capital budgets, e.g. monitoring actual against planned expenditure.

Reference	Description	Retention period	Owner
1	Records documenting the preparation of annual operating budgets.	Current financial year + 1 year	Finance Manager
2	Records documenting the monitoring of income and expenditure against annual operating budgets, and action taken to deal with variances.	Current financial year + 1 year	Finance Manager

17.8 Payroll Administration

The activities involved in administering the College's payroll, e.g. processing statutory payroll deductions; authorising and processing non-statutory payroll deductions; transferring payroll payments; notifying employees of their employment-related tax liabilities.

Reference	Description	Retention period	Owner
1	Records documenting employees' authorisation for non-statutory payroll deductions.	Current tax year + 6 years	Assistant Finance Off.
2	Records documenting calculation and payment of payroll payments to employees.	Current tax year + 6 years	Assistant Finance Off.
3	Records documenting the operation of the Statutory Sick Pay scheme.	Current tax year + 3 years	Assistant Finance Off.
4	Records documenting the operation of the Statutory Maternity Pay scheme.	Current tax year + 3 years	Assistant Finance Off.

17.9 Pension Contributions Administration

The activities involved in administering the College's employers' contributions to pension schemes for employees.

Reference	Description	Retention period	Owner
1	Records documenting payments of the College's employers' contributions to pension schemes for its employees.	Termination of employment + 75 years	Assistant Finance Off.
2	Records documenting payments of the College's employees' contributions to pension schemes.	Termination of employment + 75 years	Assistant Finance Off.

17.10 Tax Management

The activities involved in managing the College's tax affairs (including Value Added Tax (VAT), e.g. preparing and filing tax returns.

Reference	Description	Retention period	Owner
1	Records documenting the preparation and filing of the College's tax returns.	Current tax year + 6 years	Bursar

17.11 Cash Management

The activities involved in managing the College's liquid assets.

Reference	Description	Retention period	Owner
1	Records documenting the opening, closure and routine administration of bank accounts.	Closure of account + 6 years	Bursar
2	Records documenting standing orders, direct debits etc.	Life of instruction + 6 years	Bursar
3	Records documenting routine bank account deposits / withdrawals / transfers (paying-in slips, transfer instructions, bank statements etc.)	Current financial year + 6 years	Bursar

17.12 Investment Management

The activities involved in managing the College's financial investment portfolio.

Reference	Description	Retention period	Owner
1	Records documenting the overall management of the College's financial investment portfolio.	Divestment + 6 years. June investment portfolios transferred to Archive	Bursar
2	Records documenting the purchase/sale of investments.	Current financial year (of transaction) + 6 years	Bursar

17.13 Asset Management

The activities involved in collecting, recording and analysing information about the value of the College's fixed assets for accounting purposes, e.g. recording the acquisition and disposal of fixed assets; valuing assets and calculating depreciation; writing off assets prior to disposal; maintaining the College's asset register.

Reference	Description	Retention period	Owner
1	Records documenting the value of the College's capital assets.	Current financial year + 6 years. Review for archival value	Bursar
2	Records documenting decisions (and authorisations) to dispose of capital assets.	Current financial year (of disposal) + 6 years	Bursar

18 Personnel Management

The function of managing the College’s workforce as a whole, and the College’s relationship with individual fellows and staff.

18.1 Personnel Management Policy Development

The activities involved in developing and establishing the College’s personnel management policies.

Reference	Description	Retention period	Owner
1	Records documenting the development and establishment of the College’s personnel management policies.	Superseded + 10 years. Review for archival value	Bursar

18.2 Personnel Management Procedures Development

The activities involved in developing the College’s personnel management procedures.

Reference	Description	Retention period	Owner
1	Records documenting the development of the College’s personnel management procedures.	Superseded + 10 years. Review for archival value	Bursar

18.3 Workforce Recruitment

The activities involved in recruiting fellows and staff to fill new or vacant jobs, e.g. authorising recruitment; advertising and handling enquiries about vacancies; processing employment applications; reviewing and responding to unsolicited employment applications.

Reference	Description	Retention period	Owner
1	Records documenting internal authorisation for recruitment.	Current year + 1 year	HR & C Officer
2	Records documenting the advertising of vacancies.	Completion of appointment + 6 months	HR & C Officer
3	Records documenting enquiries about vacancies and requests for application forms.	Completion of appointment	HR & C Officer
4	Records documenting the handling of applications for vacancies: unsuccessful applications.	Completion of appointment + 6 months	HR & C Officer
5	Records documenting the handling of applications for vacancies: successful applications.	Termination of employment + 6 years	HR & C Officer
6	Records containing summary statistical information about job applicants e.g. ethnicity/gender analyses.	Current year + 5 years	HR & C Officer
7	Records containing management analyses of recruitment effectiveness e.g. use of advertising media.	Current year + 1 year	HR & C Officer
8	Records documenting the handling of unsolicited applications for employment.	Last action on application + 1 year	HR & C Officer

18.4 Workforce Induction

The activities involved in developing and implementing induction programmes for new staff, e.g. developing general and job-specific induction programmes; administering induction programmes to ensure that all new staff complete the required programme.

Reference	Description	Retention period	Owner
1	Records documenting the development, overall delivery and assessment of induction programmes for new employees.	Current year + 5 years	HR & C Officer
2	Records documenting the administration of induction programmes.	Completion of programme + 1 year OR Termination of programme + 1 year	HR & C Officer

18.5 Workforce Welfare Management

The activities involved in providing support services for staff.

Reference	Description	Retention period	Owner
1	Records documenting the development of welfare schemes and services e.g. healthcare, eye care, childcare vouchers, University Centre, etc.	Current year + 5 years. Review for archival value	HR & C Officer

18.6 Employee Contract Management

The management of the College's contractual relationships with individual fellows and staff. Activities include maintaining complete and accurate records of an individual's recruitment, induction, performance, discipline, training and development, occupational health and welfare, leave, pensions and termination; providing employment references for current and former employees.

Reference	Description	Retention period*	Owner**
1	Records documenting an employee's initial application for employment with the College.	Termination of employment + 6 years	HR & C Officer
2	Supporting documentation (e.g. references) for an employee's initial application for employment with the College.	Completion of appointment	HR & C Officer
3	Records documenting an employee's subsequent applications for other jobs within the College.	Duration of job + 1 year	HR & C Officer
4	Records documenting an employee's contract(s) of employment with the College.	Termination of employment + 6 years	HR & C Officer
5	Records documenting changes to an employee's terms and conditions of employment.	Termination of employment + 6 years	HR & C Officer
6	Records documenting the job descriptions of positions held by an employee within the College.	Duration of job + 1 year	HR & C Officer
7	Records documenting induction programmes attended by an employee.	Completion of induction + 1 year	HR & C Officer
8	Records documenting an employee's identified training and development needs, and the action taken to meet these needs.	Completion of actions + 5 years	HR & C Officer

9	Records documenting job-specific statutory/regulatory training requirements for an employee, and the training provided to meet these requirements.	Expiry of certification + 6 years OR Superseded + 6 years	HR & C Officer
10	Records documenting routine assessments of an employee's performance, and any consequent action taken.	Superseded + 3 years	HR & C Officer
11	Records documenting disciplinary proceedings against an employee, where employment continues.	Closure of case + 6 years	HR & C Officer
12	Records documenting grievances raised by an employee which relate directly to his/her own contract of employment, the College's response, action taken and the outcome.	Closure of case + 6 years	HR & C Officer
13	Records documenting an employee's remuneration and rewards (e.g. bonuses, merit awards, long service awards).	Current Year + 6 years	HR & C Officer
14	Records relating to the administration of an employee's contractual holiday entitlement.	Current year + 1 year	HR & C Officer
15	Records documenting an employee's absence due to sickness.	Current tax year + 3 years	HR & C Officer
16	Records documenting the authorisation and administration of special leave, e.g. compassionate leave, study leave.	Current year + 1 year	HR & C Officer
17	Records documenting the authorisation and administration of statutory leave entitlements, e.g. parental leave.	Completion of entitlement + 6 years	HR & C Officer
18	Records documenting entitlements to, and calculations of, Statutory Maternity Pay.	Current Tax Year + 3 years	HR & C Officer
19	Records containing an employee's basic personal details (e.g. address, next of kin, emergency contacts).	While current	HR & C Officer

20	Records documenting major injuries to an employee arising from accidents in the workplace.	Termination of employment + 40 years	HR & C Officer
21	Records documenting an employee's termination of employment by voluntary resignation, redundancy, retirement (including on medical grounds) or dismissal.	Termination of employment + 6 years	HR & C Officer
22	Records documenting references provided in confidence in support of an employee's application(s) for employment by another organisation.	Provision of reference + 1 year	HR & C Officer

* Personal files of fellows will be reviewed for archival value

** Registrar has responsibility for personal files of fellows

18.7 Pension Schemes Administration

The activities involved in administering the College's involvement with pension schemes of which its staff are members.

Reference	Description	Retention period	Owner
1	Records documenting the College's relationships with pension schemes to which all or some staff and fellows belong.	Termination of relationship + 5 years	HR & C Officer
2	Records documenting routine communications with the pension schemes.	Current year + 5 years	HR & C Officer

19 Information Resources Management

The function of managing the information resources which are generated or acquired by the College in the course of its work or to support its work.

19.1 Information Resources Management Policy Development

The activities involved in developing and establishing the College's information resources management policies.

Reference	Description	Retention period	Owner
1	Records documenting the development and establishment of the College's information resources management policies, e.g. data protection, freedom of information, library access and collections management.	Superseded + 5 years. Review for archival value	Archivist OR Librarian

19.2 Information Resources Management Procedures Development

The activities involved in developing the College's information resources management procedures.

Reference	Description	Retention period	Owner
1	Records documenting the development of the College's information resources management procedures, e.g. data protection, freedom of information, library access and collections management.	Superseded + 3 years.	Archivist OR Librarian

19.3 Data Protection Act (DPA) Compliance Management

The activities involved in managing the College's compliance with the Data Protection Act 1998, e.g. notifying the College's data controller details to the Information Commissioner; handling requests for personal information held by the College, made under the Data Protection Act 1998.

Reference	Description	Retention period	Owner
1	Records documenting the College's notification of data controller details to the Office of the Information Commissioner.	Expiry of notification + 6 years.	Archivist
2	Records documenting the handling of requests for access to personal information held by the College under the Data Protection Act 1998.	Last action on request + 6 years	Archivist
3	Records containing (anonymised) management statistics, analyses and reports of requests for access to personal information held by the College under the Data Protection Act 1998.	Current year + 10 years	Archivist

19.4 Freedom of Information Act (FOIA) Compliance Management

The activities involved in managing the College's compliance with the Freedom of Information Act 2000, e.g. developing, publishing and maintaining the College's Publication Scheme; handling requests for information held by the College, including providing assistance to requesters; handling appeals against decisions to withhold requested information; handling complaints against the College's processes for handling requests for information.

Reference	Description	Retention period	Owner
1	Records documenting the development and maintenance of the College's Publication Scheme, as required by the Freedom of Information Act 2000.	Completion of revision of Publication Scheme + 5 years.	Archivist

2	Records documenting the handling of requests for access to information held by the College under the Freedom of Information Act 2000.	Last action on request + 6 years	Archivist
3	Records containing (anonymised) management statistics, analyses and reports of requests for access to information held by the College under the Freedom of Information Act 2000.	Current year + 10 years	Archivist

19.5 Records Management

The activities involved in managing the College’s business records, i.e. documents and other items in any medium and format which are generated or received by the College and retained as records of its activities and operations. Activities include creating and capturing records; organising, classifying and indexing records; storing records; controlling the retention of records; carrying out preservation or conservation work on records; organising the disposal of redundant records.

Reference	Description	Retention period	Owner
1	Records documenting classification and indexing schemes for records.	Superseded + 5 years	Archivist
2	Records documenting the monitoring and control of the storage of records.	Current year + 1 year	Archivist
3	Records documenting the movement of records from/to storage.	Return of records + 1 year	Archivist
4	Records documenting the determination of retention periods for records.	Superseded + 6 years	Archivist
5	Final versions of Records Retention Schedules.	Life of College	Archivist

6	Records documenting the review of individual records to determine requirements for ongoing retention.	Life of records + 6 years	Archivist
7	Records documenting authorisation for the disposal of redundant business records.	Life of records + 6 years	Archivist
8	Records documenting the transfer of records to the College archives, where this is required by established Records Retention Schedules.	Completion of transfer + 1 year	Archivist

19.6 Archives Management

The activities involved in managing the College's archives, i.e. College business records which have been selected for permanent preservation as historical archives. Activities include acquiring archives; organising, classifying, describing and indexing archives; storing archives; carrying out preservation and conservation work on archives; promoting archives as a corporate asset and research resource; de-accessioning and disposing of archives that are no longer considered suitable for preservation by the College.

Reference	Description	Retention period	Owner
1	Records documenting the appraisal, selection and acquisition of records for preservation as College archives.	Life of records	Archivist
2	Records documenting the accessioning of records acquired for preservation as archives.	Life of archives	Archivist
3	Records describing the arrangement and contents of the College archives.	Life of records	Archivist
4	Records documenting the monitoring and control of the storage of archives.	Current year + 1 year	Archivist
5	Records documenting conservation work undertaken on items in the archives.	Life of records	Archivist

6	Records documenting requests for access to items in the archives and the responses provided.	Last action on request + 1 year	Archivist
7	Records documenting the movement of items from/to storage.	Return of items + 1 year	Archivist
8	Records documenting the development and maintenance of specialised finding aids to promote and facilitate access to (items in) the archives.	While current. Review for archival value	Archivist
9	Records documenting enquiries about (items in) the archives, and the responses provided.	Last action on enquiry + 1 year	Archivist
10	Records documenting the selection and use of items from the archives by College staff (e.g. for publications, exhibitions).	Current year + 5 years	Archivist
11	Records documenting the selection and use of items from the archives by third parties (e.g. for publications).	Last action on project + 5 years. Review for archival value	Archivist
12	Records documenting authorisation for the disposal of de-accessioned records.	Life of archives	Archivist

19.7 Collections Management

The activities involved in managing collections of valued objects, or other items owned or otherwise held by the College, e.g. selecting and acquiring collections by purchase; negotiating the acquisition of collections by donation or deposit; describing and indexing collections; storing collections; carrying out preventative or remedial conservation work on collections; de-accessioning and organising disposal of collections that are no longer considered suitable for preservation by the College.

Reference	Description	Retention period	Owner
1	Records documenting the accessioning of collections.	Life of collections	Curator
2	Records describing the contents of collections.	Life of collections	Curator
3	Records documenting conservation work undertaken on collections.	Life of collections	Curator
4	Records documenting the movement of (items from) collections from/to storage.	Return to storage + 1 year	Curator
5	Fine Arts Register of Valued Objects	Current year + 1 year	Registrar
6	Records documenting authorisation for the disposal of (items from) collections.	Life of collections	Curator

19.8 Publications Management

The activities involved in managing collections of publications acquired by the College to support its work, i.e. third-party publications in all media and formats. Activities include reviewing and selecting publications to acquire by purchase, subscription or loan; classifying, cataloguing, indexing and maintaining publications; storing publications; specifying and, where appropriate, carrying out preventive or remedial conservation work on publications; monitoring the use of publications, and alternative sources of supply, to determine whether they should continue to be purchased, or whether items already held should be retained; organising disposal of redundant publications.

Reference	Description	Retention period	Owner
1	Records documenting the process of selecting publications to purchase.	Completion of purchase	Librarian
2	Catalogues/indexes	While current	Librarian
3	Reader and loan records	Current year + 3 years	Librarian
4	Records documenting the monitoring and control of storage conditions.	Current year + 1 year	ICT Manager
5	Records documenting conservation work undertaken on publications.	Life of items	Librarian & Archivist
6	Records documenting routine stocktaking.	Current stocktake results + previous 3 stocktakes	Librarian
7	Records documenting decisions to dis/continue purchase of publications.	Last action on issue + 1 year	Librarian
8	Records documenting the disposal of redundant publications.	Disposal of publications + 1 year	Librarian

20 Equipment and Consumables Management

The function of managing equipment and consumables purchased by the College. Equipment includes instruments, tools, machines, plant, interior fixtures and fittings, furniture and furnishings, personal protective equipment. Consumables include stationery, janitorial supplies, decorating materials, cleaning materials, first aid supplies, food, uniforms and protective clothing.

20.1 Equipment and Consumables Selection

The activities involved in selecting equipment and consumables, e.g. developing specifications of requirements; identifying sources of supply; evaluating and selecting items.

Reference	Description	Retention period	Owner
1	Records documenting the development of specifications for, and the selection of, equipment/consumables: major items.	Life of item + 6 years	Budget holder
2	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	Bursar
3	Records documenting the development of specifications for, and the selection of, equipment/consumables: other items.	Life of item	Budget holder

20.2 Equipment and Consumables Storage

The activities involved in storing equipment and consumables, e.g. monitoring storage conditions to ensure compliance with technical standards and/or legal requirements; monitoring the condition of items held in storage; maintaining the stock inventory; monitoring and maintaining stock levels; controlling the allocation/issue of items from storage.

Reference	Description	Retention period	Owner
1	Records documenting the monitoring of the condition of stored equipment/consumables.	Current year + 1 year	Budget holder
2	Records documenting the stock inventory for equipment/consumables.	Superseded	Budget holder
3	Records documenting routine stocktaking and stock checking.	Current year + 1 year	Budget holder
4	Records documenting the movement of stock into and from storage.	Current year + 1 year	Budget holder

20.3 Equipment and Consumables Installation/Commissioning

The activities involved in installing/commissioning equipment and consumables and, where appropriate, connecting and configuring them for use, e.g. conducting pre-commissioning inspections/examinations; conducting post-installation inspections/examinations to ensure compliance with technical standards and/or legal requirements.

Reference	Description	Retention period	Owner
1	Records documenting the installation of equipment/consumables: major items.	Decommissioning/ Removal + 6 years	Bursar

2	Records documenting the installation of equipment/consumables: items which are safety critical or associated with hazardous operations.	Decommissioning/ Removal + 40 years	Bursar
3	Records documenting the installation of equipment/consumables: other items.	Decommissioning/ Removal + 1 year	Budget holder

20.4 Equipment and Consumables Inspection and Testing

The activities involved in inspecting and testing equipment and consumables to ensure compliance with technical standards and/or legal requirements.

Reference	Description	Retention period	Owner
1	Records documenting the inspection and testing of equipment/consumables.	Completion of subsequent inspection record <i>OR</i> Disposal of item + 1 year	Budget holder
2	Records documenting the inspection and testing of equipment/consumables: items which are safety critical or are associated with hazardous operations.	Disposal of item + 5 years	Bursar
3	Records documenting the examination, testing and repair of equipment/consumables provided to control exposure to hazardous substances.	Date of action + 5 years	Bursar

20.5 Equipment and Consumables Maintenance

The activities involved in maintaining the College's equipment in sound working order to meet technical standards or legal requirements, e.g. undertaking planned preventive maintenance work on equipment; repairing equipment; modifying equipment.

Reference	Description	Retention period	Owner
1	Records documenting the maintenance of equipment/consumables: major items.	Decommissioning/ Removal + 6 years	Bursar
2	Records documenting the maintenance of equipment/consumables: items which are safety critical or are associated with hazardous operations.	Decommissioning/ Removal + 40 years	Bursar

20.6 Equipment and Consumables Disposal

The activities involved in disposing of surplus or redundant equipment and consumables. Disposal may be by donation, sale or destruction. Activities include authorising disposal; identifying and evaluating alternative methods of disposal; undertaking cleaning/sanitisation of equipment and consumables prior to disposal; providing any necessary certification (e.g. of safety) or documentation (e.g. maintenance history) to recipients of sold or donated equipment and consumables; where appropriate (e.g. for vehicles), administering transfer of ownership of equipment and consumables and retaining necessary documentation.

Reference	Description	Retention period	Owner
1	Records documenting authorisation for the disposal of equipment/consumables, and the evaluation of alternative methods of disposal.	Disposal of item + 1 year	Budget holder
2	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 + 6 years	Bursar
3	Records documenting the cleaning/sanitisation of equipment/consumables prior to disposal: other items.	Disposal of item + 1 year	Budget holder
4	Records documenting the transfer of ownership of equipment/consumables.	Disposal of item + 1 year	Budget holder

21 Insurance Management

The function of assessing the College’s liabilities and insurance needs and maintaining adequate insurance cover.

21.1 Insurance Management Strategy Development

The activities involved in developing and establishing the College’s strategy for maintaining adequate insurance cover.

Reference	Description	Retention period	Owner
1	Records documenting the development and establishment of the College’s insurance strategy.	Superseded + 5 years. Review for archival value	Bursar

21.2 Insurance Policy Management

The activities involved in taking out and maintaining insurance policies to meet legal requirements and to ensure adequate insurance cover for the College’s assets and identified operational risks, e.g. reviewing, renewing, amending or terminating insurance policies.

Reference	Description	Retention period	Owner
1	Records documenting the arrangement and renewal of insurance policies to meet defined requirements and legal obligations: employers' liability insurance.	Commencement of policy + 40 years OR Renewal of policy + 40 years	Bursar
2	Records documenting the arrangement and renewal of insurance policies to meet defined requirements and legal obligations: all other insurance.	Expiry of policy + 6 years	Bursar
3	Records documenting claims made under insurance policies.	Settlement of claim + 6 years OR Withdrawal of claim + 6 years	Bursar

22 Procurement

The function of acquiring ownership or use of goods, works and services through purchase or lease.

22.1 Supply Contract Tendering

The activities involved in tendering supply contracts above a predetermined value, or for other reasons, in accordance with College policy and industry or legal standards and methods, e.g. drawing up tenders and defining tender evaluation and selection criteria; issuing requests for tenders; controlling the receipt and opening of tenders received; evaluating tenders; reporting and publishing information about contracts awarded (e.g. in the *Official Journal of the European Community*).

Reference	Description	Retention period	Owner
1	Records documenting the process of inviting and evaluating pre-qualification submissions from prospective suppliers.	Award of supply contract + 1 year	Bursar
2	Records documenting Invitations to Tender and tender evaluation criteria.	Termination of supply contract awarded + 6 years	Bursar
3	Records documenting the issue of Invitations to Tender and handling of incoming tenders.	Award of supply contract + 1 year	Bursar
4	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	Bursar
5	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 supply contract awarded + 6 years	Bursar
6	Contract award report (as required by the Regulations cited).	Termination of supply contract awarded + 6 years	Bursar

7	Statistical reports to HM Treasury on contracts awarded (as required by the regulations cited).	Current year + 3 years	Bursar
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22.2 Supply Contract Management

The activities involved in managing supply contracts with third parties for the supply of goods, works or services to the College on a one-off basis or for a fixed period, e.g. drawing up supply contracts; negotiating revisions and extensions to contracts; monitoring supplier performance and taking appropriate action to deal with under-performance or other issues which arise during the life of contracts.

Reference	Description	Retention period	Owner
1	Records documenting variations to contracts (e.g. revisions, extensions).	Termination of contract + 6 years	Budget holder
2	Records documenting the monitoring of supplier performance and action taken regarding under-performance.	Termination of contract + 6 years	Budget holder

22.3 Purchasing Administration

The activities involved in purchasing goods, works or services where supplier approval or a formal supply contract is not required, e.g. setting purchasing authorisation limits; authorising purchasing; obtaining quotations or estimates; placing orders; taking delivery of goods, works or services and dealing with issues which arise.

Reference	Description	Retention period	Owner
1	Records documenting purchasing authorisation limits.	Superseded + 1 year	Finance Manager
2	Records documenting internal authorisation for procurement.	Current financial year + 1 year	Finance Manager
3	Purchase orders	Current financial year + 6 years	Finance Manager
4	Goods Received Notes/Goods Inwards Notes	Current financial year + 6 years	Finance Manager

Records which may be routinely destroyed

Introduction

As a rule, the following types of records have no significant operational, informational or evidential value. They can therefore be destroyed as soon as they have served their primary purpose.

Examples

- Announcements and notices of meetings and other events, and notifications of acceptance or apologies
- Requests for stock information such as maps and travel directions, brochures etc.
- Requests for, and confirmations of, reservations for internal services (e.g. meeting rooms, car parking spaces)
- Requests for, and confirmations of, reservations with third parties (e.g. travel, hotel accommodation) when invoices have been received
- Transmission documents: letters, FAX cover sheets, e-mail messages, compliments slips and similar items which accompany documents but do not add any value to them
- Message slips
- Superseded address lists, distribution lists etc.
- Duplicate documents such as:
 - 'CC' and 'FYI' copies
 - Unaltered drafts
 - 'Snapshot' printouts or extracts from databases
 - 'Day Files' (chronological copies of correspondence)
- Personal diaries, address books etc.
- Working papers, where the results have been written into an official document and which are not required to support it
- Stocks of in-house publications which are obsolete or superseded e.g. newsletters, marketing materials, prospectuses, catalogues, manuals, directories, forms, and other material produced for wide distribution
- Published or reference materials received from other parts of the College, the University, or from vendors or other external organisations which require no action and are not needed for 'record' purposes, e.g. trade magazines, vendor catalogues, flyers, newsletters