

**Introduction to the Middlesex University Retention Schedule**

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| Policy owner | Legal Team |
| Author if different from above | N/A |
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Approvals

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| **Committee / Individual** | **Date** |
| Information Governance Group (IGG) | Approved by the Information Governance Group on 28 Nov 2022 |

1. **What is a retention schedule?**

A retention schedule is a key part of a successful records management programme. It allows individuals to take consistent actions on the retention and destruction of corporate records and prevents ad-hoc decisions being taken at local level.

1. **Why do we need one at Middlesex University?**

The schedule helps to protect the interests of Middlesex University by ensuring our records are kept to meet both operational and legal obligations, and demonstrates accountability to stakeholders including funders, regulators and students. It also helps to meet our obligations under the GDPR, Data Protection Act 2018 and the Freedom of Information Act 2000.

1. **How has the schedule been created?**

The schedule is based on a model for HEIs designed by JISC (www.jisc.ac.uk) and follows a functional approach rather than imitating Middlesex University’s organisational structure. This approach recognises that whilst departmental names may change, functions and activities undertaken by HEIs stay broadly similar over time. Having said that there should be a named individual assigned by the Faculty or Service to be responsible for each type of record to ensure the requirements of the schedule are actually adhered to.

1. **How do I use it?**

The main types of records created, received or maintained by the University as part of its activities are listed, specifying the period they need to be retained and using the abbreviation ‘Y’ to signify years and ‘M’ to signify months. Where the term ‘REVIEW’ is used in the **Retention Requirement** column the records will be reviewed by the University Data Protection Officer to determine if they have archival value (i.e. long-term research value not attached to their primary function). Where the term ‘PERMANENT’ is used these records must be retained permanently. The **Citation** column provides the legal or other basis for retention. Where no citation is given, the retention decision is based on common practice, including comparison with other UK based HEIs. Citation references are expanded at the end of the schedule.

It should be noted that the schedule applies to all records **regardless of the format or media they are created or retained in**. Approaches to ensuring appropriate retention and destruction of records will differ according to format or media of the record.

4.1 How is the schedule arranged?

The following functional headings are used. You may locate the records you are interested in by using this index or by using a free text search within this PDF.

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| **1** | **CORPORATE GOVERNANCE** |
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| **20** | **INFORMATION TECHNOLOGY** |
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| **21** | **INFORMATION COMPLIANCE** |
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| **22** | **LIBRARY AND UNIHELP** |

1. **What does not fall under the scope of the schedule?**

The schedule applies only to the master or official copy of a record: duplicates and convenience copies, including back-ups, should be disposed of once reference use has ended, and **always** before the end of the retention period.

5.1 Ephemeral material

Some records and information have no significant informational or evidential value and can be destroyed as soon as they are no longer useful. These should be disposed of promptly. Examples of such material are listed below:

* Working papers whose contents have been incorporated into later drafts and which are not required to support them;
* Notices of meetings and other events, acceptances and apologies;
* Transmission documents: letters, fax cover sheets, emails, compliment slips and other items which accompany documents but don’t add value to them;
* Message slips;
* Diaries and address books;
* Superseded address or distribution lists;
* Requests for routine information such as maps, travel directions, brochures and prospectuses;
* Duplicate documents such as cc emails, unaltered drafts and snapshots or extracts from databases;
* Published material which is obsolete or superseded, such as trade magazines, posters, catalogues, manuals and forms.
1. **Roles and responsibilities**

The document owner specified in the Schedule below is the relevant person with responsibility for ensuring their team’s compliance with the retention requirements specified in the table below. Failure to comply with the retention requirements, would result in non-compliance with the Data Protection legislation.

1. **Queries**

If you have any queries relating to the schedule or require clarification on any points please contact the University Data Protection Officer, at: dpaofficer@mdx.ac.uk who will assist in interpretation. If the Data Protection Officer is unavailable please send an email to: to the University’s legal team, using the following email address: LegalMatters@mdx.ac.uk

The schedule may need to be updated from time to time to ensure it remains accurate. If there are any changes in your Faculty or Service with regards to any of the details set out in the table below, please let the University Data Protection Officer know by sending an email to: dpaofficer@mdx.ac.uk .

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| **Record Type** | **Document Owner** | **Retention Period** | **Proposed Action** | **Legal Requirements** |
| **1 CORPORATE GOVERNANCE** |
| **1.1 Strategies, Policies and Procedures** |
| Governance documents |  University Executive Team (UET), Academic Registrar and Senior Management Team | Superseded + 5 Y | Archive | MDXJISC |
| Policies, Procedures and Regulations | UET, Academic Registrar and Senior Management, Director of Finance, Director of HR, and other relevant Directors of Services | Superseded + 5 Y | Archive | MDXJISC |
| Working papers used to develop and update policies, procedures and regulations | UET, Academic Registrar and Senior Management Team and other relevant Directors of Services | Approval date + 1 Y | Destroy | MDXJISC |
| University Strategies and supporting documents | UET | Superseded + 5 Y | Archive | MDXJISC |
| **1.2 Committees, Boards and Working Groups** |
| Board of Governors: agenda, minutes and papers | Clerk to the Board of Governors | Current academic Year (AY) + 6 Y | Archive | MDXLimitation Act 1980 c58 |
| Statutory Committees: agenda, minutes and papers | Clerk to the Board of Governors / relevant Chair & Secretary | Current AY + 6 Y | Archive | MDXLimitation Act 1980 c58 |
| Other Committees/Board/Working Groups: agenda, minutes and papers | Relevant Chair & Secretary | Current AY + 6 Y | Archive | MDXLimitation Act 1980 c58 |
| Committee membership and appointment records | Clerk to the Board of Governors / relevant Chair & Secretary | End of individual’s tender + 6Y | Destroy | MDXLimitation Act 1980 c58DPA 2018 |
| External Committee Papers | Clerk to the Board of Governors / relevant Chair & Secretary | Current AY + 6Y | Destroy | JISCLimitation Act 1980 c58DPA 2018 |
| **1.3 Government and OfS Relations** |
| Records relating to the management of relationships with OfS and other government organisations | UET, Academic Deans of Faculty and relevant Directors of Services | Superseded + 6Y | Destroy | JISCLimitation Act 1980 c58 |
| Funding Agreements between OfS and MDX | UET | End of agreement + 6Y | Archive | Limitation Act 1980 c58 |
| Records of University’s formal participation in governmental or parliamentary or public inquiries  | UET | Completion of inquiry + 10Y | Archive | MDX |
| **2 LEGAL SERVICES** |
| Records of legal support, representation andlitigation regarding claims by or against MDX | Senior Legal Advisor, Student & Legal Affairs | Settlement or withdrawal + 6Y | Destroy | Limitation Act 1980 c58DPA 2018 |
| Records of legal advice on interpretation of legislation affecting MDX's legal framework or responsibilities, relationship with central government or regulators, employee relations, or health, safety and environmental matters | Senior Legal Advisor, Student & Legal Affairs | Permanent | - | JISC |
| Records of legal advice on other matters | Senior Legal Advisor, Student & Legal Affairs for legal advice and matters where Student and Legal Affairs have been instructed. For matters where Student and Legal Affairs have not been instructed the document owner is the UET, Academic Deans of Faculty and relevant Directors of Services as applicable | Superseded + 5Y | Destroy | JISCDPA 2018 |
| Litigation files | Senior Legal Advisor, Student & Legal Affairs for legal advice and matters where Student and Legal Affairs have been instructed. For matters where Student and Legal Affairs have not been instructed the document owner is the UET, Academic Deans of Faculty and relevant Directors of Services as applicable | Records setting precedents: permanentOthers: settlement + 6Y | Destroy | JISCDPA 2018 |
| Arbitration/Settlement files | Senior Legal Advisor, Student & Legal Affairs for legal advice and matters where Student and Legal Affairs have been instructed. For matters where Student and Legal Affairs have not been instructed the document owner is the UET, Academic Deans of Faculty and relevant Directors of Services as applicable | Last action on case + 6Y | Destroy | Limitation Act 1980 c58DPA 2018 |
| Contracts and legal agreements (including supporting documents) | Senior Legal Advisor, Student & Legal Affairs (where instructed on relevant contracts and legal agreements), and as applicable UET, relevant Directors of Services and Academic Deans of Faculties holding contracts | Termination date + 6Y | Destroy | Limitation Act 1980 c58DPA 2018 |
| Leases and lease agreements | , Director of Estates and Facility Management (EFMS) | Expiry of lease + 15Y | Destroy | Limitation Act 1980 c58DPA 2018 |
| Deeds (excluding Title Deeds) | Senior Legal Advisor, Student & Legal Affairs (if instructed on matters relating to deeds), and as applicable UET, relevant Directors of Services and Academic Deans of Faculties holding contracts | Termination date + 12Y | Destroy | Limitation Act 1980 c58DPA 2018 |
| Title Deeds (relating to land) | Senior Legal Advisor, Student & Legal Affair (if instructed on matters relating to title deeds, relating to land), and as applicable UET, and Director of EFMS). | Disposal of property + 12Y | Archive | MDXLimitation Act 1980 c58 |
| Records relating to Trusts | Senior Legal Advisor, Student & Legal Affairs (if instructed on matters relating to Trusts), and as applicable UET, and relevant Directors of applicable services. | Until Trust wound up or subsumed | Archive | MDX |
| Middlesex University statutory registers | UET, Clerk to the Board of Governors | Permanent | - | MDX |
| Subsidiary Companies statutory registers | UET, Clerk to the Board of Governors | Permanent | - | MDX |
| Subsidiary Companies files | As applicable UET, relevant Directors of applicable services, Academic Deans of Faculty  | Life of company + 10Y | Destroy | MDX |
| Applications for patents and patentcertificates | Relevant Directors of Research and Knowledge Transfer Office RKTO | Life of patent + 50Y | Destroy | JISC |
| Applications for and certificates of registration of other forms of IPR protection (registered trademarks, registered designs) | Relevant Directors of RKTO, University Copyright Officer, relevant Directors of applicable services, Academic Deans of Faculty | End of registration + 6Y | Destroy | Limitation Act 1980 c58 |
| **3 COLLABORATIVE PARTNERSHIPS** |
| **3.1 Franchise and Validated Partners** |
| Collaboration Agreements including franchise and validation agreements, collaborative research degrees and joint taught degrees | Director of Academic Quality Service | **Deeds:** termination of contract + 12Y**Contracts:** termination of contract + 6Y | Destroy | Limitation Act 1980 c58DPA 2018 |
| Operational Manuals | Director of Academic Quality Service  | **Deeds:** termination of contract + 12Y**Contracts:** termination of contract + 6Y | Destroy | Limitation Act 1980 c58 |
| Documents belonging to the other party and completed forms received following the due diligence process | Director of Academic Quality Service | Termination of contract + 6Y | Destroy | Limitation Act 1980 c58DPA 2018 |
| Due diligence working documents | Director of Academic Quality Service | Termination of contract | Destroy | Limitation Act 1980 c58DPA 2018 |
| Programme Specifications | Director of Academic Quality Service | Termination of contract + 3Y | Destroy | Limitation Act 1980 c58 |
| Student applications for partnered programmes |  As applicable, Academic Registrar and Senior Management Team, and Director of Academic Quality | **Successful applicants:** end of contract with student + 6Y**Unsuccessful applicants:** end of following admissions cycle | Destroy | Limitation Act 1980 c58DPA 2018MDX |
| Agreements with students | As applicable Director of Academic Quality, Academic Registrar and Senior Management Team,  | End of contract with student + 6Y | Destroy | Limitation Act 1980 c58DPA 2018 |
| Enrolment to course data | As applicable Director of Academic Quality, Academic Registrar and Senior Management Team | End of programme + 3Y | Destroy | MDXDPA 2018 |
| Enrolment audit report | As applicable Director of Academic Quality, Academic Registrar and Senior Management Team | End of programme + 3Y | Destroy | MDXDPA 2018 |
| Student records containing personal data | Academic Partnerships as applicable Director of Academic Quality, Academic Registrar and Senior Management Team | Termination of relationship with student + 6Y | Retain essential information and destroy the rest | Limitation Act 1980 c58DPA 2018 |
| Staff CVs | Academic Partnerships Director of Academic Quality | End of contract + 6Y | Destroy | Limitation Act 1980 c58DPA 2018 |
| Invoices | Academic Partnerships Director of Academic Quality | End of contract + 6Y | Destroy | Limitation Act 1980 c58DPA 2018 |
| **3.2 International Preparation Programmes (IPP), Erasmus & Exchanges** |
| Study Abroad agreements, including EU Grant Agreements, student exchange agreements, Erasmus + agreements and direct enrol agreements | IPP – Director of International Preparatory Programmes and Exchanges | **Deeds:** termination of contract + 12Y**Contracts:** termination of contract + 6Y | Destroy | Limitation Act 1980 c 58 DPA 2018 |
| Records and supporting documentation created as a result of or in relation to any of the Study Abroad agreements | IPP - – Director of International Preparatory Programmes and Exchanges | Termination of contract + 6Y | Destroy | Limitation Act 1980 c 58 DPA 2018 |
| Student applications for Study Abroad programmes | IPP -– Director of International Preparatory Programmes and Exchanges | **Successful application:** end of programme + 6Y**Unsuccessful application:** end of relevant academic year | Destroy | Limitation Act 1980 c 58 DPA 2018 |
| Study abroad agreements with students | IPP -– Director of International Preparatory Programmes and Exchanges | End of contract with student + 6Y | Destroy | Limitation Act 1980 c 58 DPA 2018 |
| Student records containing personal data (relevant to this activity) | IPP-– Director of International Preparatory Programmes and Exchanges | End of relationship with student | Destroy | Limitation Act 1980 c 58 DPA 2018 |
| Staff applications/agreement/records in relation to exchange activity | IPP -– Director of International Preparatory Programmes and Exchanges | End of relationship with staff | Destroy | Limitation Act 1980 c 58 DPA 2018 |
| Invoices | IPP -– Director of International Preparatory Programmes and Exchanges | End of contract + 6Y | Destroy | Limitation Act 1980 c 58 DPA 2018 |
| Documents belonging to the partner and completed forms received following the due diligence process (where applicable) | IPP -– Director of International Preparatory Programmes and Exchanges | End of contract + 6Y | Destroy | Limitation Act 1980 c 58 DPA 2018 |
| **4 PLANNING** |
| Strategic Plan, including Mission Statement | UET, University Executive Team (UET) | Superseded + 5Y | Archive | JISC |
| Statutory Returns such as:HESES;HESA returns;Unistats;Graduate Outcomes; | Academic Registrar and Academic Registry’s Senior Management Team,  Director of Employability Service | Submission of report + 3Y | Archive | MDX |
| Access Agreement and Access Agreement Monitoring Return |  UET, Academic Registrar and Academic Registry’s Senior Management Team and relevant Directors  | Submission of return + 3Y | Archive | MDX |
| Planning Process documents and risk registers |  Academic Deans of Faculty / relevant Directors | Superseded + 3Y | Destroy | MDX |
| Teaching Excellence Framework (TEF)metrics, underlying data and submission | - Academic Deans of Faculty and relevant Directors. | Superseded + 3Y | Destroy | MDX |
| Taught programmes statistics |  – Academic Deans of Faculty and relevant Directors. | Life of programme + 10Y | Destroy | JISC |
| Student survey results, analysis and reports | Applicable Directors in the Marketing, Recruitment and Communications Team, other relevant Directors and Academic Deans of Faculty  | Completion of analysis of feedback | Destroy | JISCDPA 2018 |
| First Destination Surveys | Applicable Directors in the Marketing, Recruitment and Communications Team, other relevant Directors and Academic Deans of Faculty | **Individual responses:** Completion of analysis of responses**Anonymised summaries and analysis:** current AY + 5Y | Destroy | MDXDPA 2018 |
| Records containing data on, and analyses of,student numbers and other programme statistics | Applicable Directors in the Marketing, Recruitment and Communications Team, other relevant Directors, and Academic Deans of Faculty | Current AY + 5Y | Destroy | JISC |
| **5 STUDENT ADMINISTRATION** |
| Student files, including core student records: (a) basic personal details;(b) information gathered at application and registration;(c) degree courses and papers undertaken,including relevant dates of teaching andassessment;(d) information on academic progress andperformance, including assessmentoutcomes;(e) summary information on academicappeals, complaints, discipline and academicmisconduct;(f) transcript;(g) reference(s) from the University | Academic Registrar and Senior Management Team, Academic Deans of Faculty and other relevant Directors. | Recommendation file is reviewed + 6Y after graduation of student and non-essential information is removed | Destroy | JISC |
| Tier 4 Visa Holders Recruitment records (i.e.identity details, contact details, applications,recruitment decision summary grid etc.), anddocuments relating to sponsorship application | Academic Registrar and Senior Management Team and other relevant Directors | - 1 Y from the date the sponsorship of the migrant has ended or- if the migrant is no longer sponsored byMDX, the point at which a Compliance Officer has examined and approved them, whichever period is shorter | Destroy | Home Office/UKVI requirement |
| Policies, procedures and regulations | Academic Registrar and Senior Management Team, Academic Deans of Faculty and relevant Directors | Current AY + 5Y | Archive | JISC |
| **5.1 Student Recruitment and Admissions** |
| Design, conduct and summary results of student recruitment campaigns, events and schemes | Directors of Marketing & Recruitment and Communications, other applicable Directors, and Academic Deans of Faculty and other relevant Directors | Current AY + 5Y | Destroy | JISC |
| Admissions Criteria |  Directors of Marketing & Recruitment, Academic Registrar and Senior Management Team, Academic Deans of Faculty and relevant Directors | Superseded + 10Y | Destroy | JISC |
| Enquiries from prospective students | Directors of Marketing & Recruitment, Academic Registrar and Senior Management Team, Academic Deans of Faculty and relevant Directors | Current AY + 3Y | Destroy | JISC |
| Student applications | Directors of Marketing & Recruitment, Academic Registrar and Senior Management Team, Academic Deans of Faculty and relevant Directors | **Successful applicants:** held as part of core student record**Unsuccessful applicants:** completion of admissions cycle + 1Y | Destroy | Limitation Act 1980 c 58 DPA 2018 |
| Summaries and analyses of data on registration of students on programmes |  Directors of Marketing & Recruitment, Academic Registrar and Senior Management Team, Academic Deans of Faculty and relevant Directors | Current AY + 5Y | Destroy | JISC |
| Apprentices  | Director of Apprenticeships | Current AY + 5Y | Destroy | JISC |
| **5.2 Student Assessment** |
| All grades records | Academic Registrar and Senior Management Team, Academic Deans of Faculties and relevant Directors | Board of Examiners meeting + 1Y | Archive | Limitation Act 1980 c 58 DPA 2018 |
| Pass lists | Academic Registrar and Senior Management Team, Academic Deans of Faculties, and relevant Directors. | Board of Examiners meeting + 1Y | Archive | MDX |
| Graduation lists | Academic Registrar and Senior Management Team, Academic Deans of Faculties and relevant Directors | Board of Examiners meeting + 1Y | Archive | MDX |
| Formative assessments, essays | Academic Deans of Faculties and relevant Directors | Board of Examiners meeting + 1Y | Destroy | JISCMDX |
| Summative assessments | Academic Deans of Faculties and relevant Directors | Board of Examiners meeting + 1Y | Destroy | JISCMDX |
| Exam Papers and Scripts | Academic Registrar and Senior Management Team, Academic Deans of Faculties and relevant Directors | Board of Examiners meeting + 1Y | Archive | MDX |
| External Examiner’s reports | Academic Registrar and Senior Management Team, Academic Deans of Faculties, and relevant Directors  | Current AY + 3Y | Destroy | MDX |
| Mitigating Circumstances records | Academic Registrar and Senior Management Team and relevant Directors | Current AY + 6Y | Destroy | Limitation Act 1980 c 58 DPA 2018 |
| Dissertations | Academic Deans of Faculties and relevant Directors | Board of Examiners meeting + 1Y | Archive | MDX |
| PhD theses | Academic Deans of Faculties, Director of Library and Student Support (LSS) | Board of Examiners meeting + 1Y | Archive | JISC |
| Award of bursaries, scholarships and fellowships to individual students | Academic Registrar and Senior Management Team, Academic Deans of Faculties, Director of Finance | Current AY + 6Y | Archive | Limitation Act 1980 c 58 DPA 2018 |
| Records documenting the organisation and administration of graduation ceremonies | Academic Registrar and Senior Management Team, Academic Deans of Faculties and relevant Directors.  | Completion of ceremony + 1Y | Destroy | JISCDPA 2018 |
| **5.3 Student Misconduct, Appeals and Complaints** |
| Records documenting the conduct and results of formal disciplinary proceedings against individual students. | Director of Student and Legal Affairs, Academic Deans of Faculty and relevant Directors | Last action on case + 6Y | Destroy | Limitation Act 1980 c 58 DPA 2018 |
| Student fitness to study / fitness to practice case files  | Director of Student and Legal Affairs, relevant Academic Deans of Faculty and relevant Directors | Last action on case + 6Y | Destroy | Limitation Act 1980 c 58 DPA 2018 |
| Student complaints | Director of Student and Legal Affairs, Academic Deans of Faculty and relevant Directors | Last action on case + 6Y | Destroy | Limitation Act 1980 c 58 DPA 2018JISC |
| Academic appeal files | Director of Student and Legal Affairs, Academic Registrar and Senior Management Team and other relevant Directors. | Last action on case + 6Y | Destroy | Limitation Act 1980 c 58 DPA 2018 |
| **5.4 Student Support** |
| Cause for Concern case files | Director of LSS and other relevant Directors | Current AY + 3Y | Destroy | DPA 2018MDX |
| Counselling and Mental Health case files | Director of LSS and other relevant Directors | Current AY + 6Y | Destroy | BACP RecommendationDPA 2018 |
| Learning support case files | Director of LSS and other relevant Directors | Current AY + 5Y | Destroy | JISCMDX |
| Welfare advice case files | Director of LSS and other relevant Directors | Current AY + 5Y | Destroy | JISCMDX |
| Disability support case files | Director of LSS and other relevant Directors | Current AY + 6Y | Destroy | Limitation Act 1980 c 58 DPA 2018 |
| **5.5 Student Accommodation**  |
| Accommodation booking forms | Director of (EFMS) | Retain until termination of agreement + 1Y | Destroy | MDXDPA 2018 |
| Accommodation lists | Director of (EFMS) | Retain until termination of agreement + 1Y | Destroy | MDXDPA 2018 |
| Student accommodation files | Director of EFMS | Retain until termination of agreement + 6Y | Destroy | Limitation Act 1980 c 58 DPA 2018 |
| **6 TEACHING** |
| **6.1 Programme Administration**  |
| Academic administration policies, procedures and key documents | Academic Registrar and Senior Management Team, Academic Deans of Faculty and other relevant Directors | Superseded + 5Y | Archive | JISC |
| Teaching and Learning Strategy and procedures |  UET, Academic Registrar and Senior Management Team, Academic Deans of Faculty, and other relevant Directors  | Superseded + 5Y | Archive | JISC |
| Design of new curricula – Reports and other key documents | Academic Registrar and Senior Management Team, Academic Deans of Faculty and other relevant Directors | Life of programme + 10Y | Destroy | JISC |
| Monitoring, evaluations and development of existing curricula – Reports and key documents |  Academic Registrar and Senior Management Team, Academic Deans of Faculty and other relevant Directors | Life of programme + 10Y | Destroy | JISC |
| Identification of accreditation requirements for courses and obtaining accreditation and reaccreditation |  Academic Registrar and Senior Management Team, Academic Deans of Faculty and other relevant Directors | Retain for the life of programme | Destroy | JISC |
| Programme Specifications |  Academic Registrar and Senior Management Team, Academic Deans of Faculty and other relevant Directors | Current AY + 6Y | Destroy | Limitation Act 1980 c 58 |
| Course timetables |  Academic Registrar and Senior Management Team, Academic Deans of Faculty and other relevant Directors | Current AY + 1Y | Destroy | JISC |
| Programme Validation documents and Review Reports | Academic Registrar and Senior Management Team, Director of Academic Quality | Current AY + 5Y | Destroy | JISC |
| Teaching Quality Assessments – Final Reports | Academic Registrar and Senior Management Team, Academic Deans of Faculty, Director of Academic Quality | Current AY + 5Y | Destroy | JISCDPA 2018 |
| Records documenting the design and development of assessments |  Academic Registrar and Senior Management Team, Academic Deans of Faculty, Director of Academic Quality | Life of programme | Destroy | JISC |
| **6.2 Module Administration** |
| Design and development of taught modules | Academic Deans of Faculty, Director of Academic Quality and other relevant Directors, Centre of Academic Practice and Enhancement | Life of programme + 10Y | Archive | JISC |
| Creation of new modules and development of current modules | Academic Deans of Faculties, Director of Academic Quality, Head of Centre of Academic Practice and Enhancement (CAPE), Academic Registrar and Senior Management Team, and other relevant Directors, | Life of programme + 10Y | Archive | JISC |
| Subject Review – Final report and other significant records | Academic Registrar and Senior Management Team, Director of Academic Quality, other relevant Directors, Academic Deans of Faculties  | Current AY + 5Y | Archive | JISC |
| Module guides | Academic Deans of Faculties, Director of Academic Quality, other relevant Directors | Current AY + 6Y | Destroy | MDX |
| Student Module Handbooks | Academic Deans of Faculties, Director of Academic Quality, other relevant Directors. | Current AY + 2Y | Destroy | MDX |
| Teaching materials (including tutorial materials) | Academic Deans of Faculties,Director of Academic Quality, other relevant Directors | Life of course | Destroy | MDX |
| Attendance registers / data | Academic Registrar and Senior Management Team, Academic Deans of Faculty and relevant Directors | Current AY + 3Y | Destroy | JISCDPA 2018 |
| Module examination Regulations | Academic Registrar and Senior Management Team, Academic Deans of Faculties and relevant Directors | Current AY + 10Y | Destroy | JISCDPA 2018 |
| External Examiner Membership records | Academic Registrar and Senior Management Team, Academic Deans of Faculties and relevant Directors  | Termination of appointment + 1Y | Destroy | JISCDPA 2018 |
| **7 RESEARCH** |
| Research Committee Agendas, Minutes and Papers | Strategic Director of Research, Strategic Director of Knowledge Transfer, Academic Deans of Faculties, UET | Current AY + 6Y | Archive | MDX |
| Research Policies, Procedures and regulations | Director of Research, Academic Registrar and Senior Management Team, Academic Deans of Faculties | Superseded + 5Y | Archive | JISC |
| Research Grant Proposals / Applications | , Director of Research, Strategic Director of Knowledge Transfer, Academic Deans of Faculties | **Successful proposals:**Completion of project + 6Y**Unsuccessful proposals:**Abandonment of plans + 1Y | Destroy | Limitation Act 1980 c 58 DPA 2018JISC |
| Records documenting the design and planning of research projects which are undertaken | Director of Research, Strategic Director of Knowledge Transfer, Academic Deans of Faculties | Completion of project + 6Y or longer if required by funder / sponsor / regulatory body | Destroy | JISCDPA 2018 |
| Research contracts | Director of Research, Strategic Director of Knowledge Transfer, Academic Deans of Faculties | Termination of contract + 6Y | Archive | Limitation Act 1980 c 58 DPA 2018 |
| Research Grant Agreements offered by the ERC | Director of Research, Strategic Director of Knowledge Transfer, Academic Deans of Faculties | Termination of contract + 6Y | Archive | Limitation Act 1980 c 58 DPA 2018 |
| Records and supporting documentation created as a result of or in relation to any of the Research Grant Agreements | Director of Research, Strategic Director of Knowledge Transfer, Academic Deans of Faculties | Termination of contract + 6Y | Destroy | Limitation Act 1980 c 58 DPA 2018 |
| Formal reports to sponsors | Director of Research, Strategic Director of Knowledge Transfer, Academic Deans of Faculties | Current AY + 5Y | Archive | JISCDPA 2018 |
| Formal reports to ethics and regulatory bodies | Director of Research, Strategic Director of Knowledge Transfer, Academic Deans of Faculties | Current AY + 5Y | Archive | JISCDPA 2018 |
| Formal assessments of work undertaken byresearch students | Academic Deans of Faculties, Academic Registrar and Senior Management Team | Completion of student’s programme + 6Y | Destroy | Limitation Act 1980 c 58 DPA 2018 |
| Formal external reviews (e.g. REF) of general University research quality and standards: final reports and core working papers | ,Director of Research, Strategic Director of Knowledge Transfer, Academic Deans of Faculties, UETUET | Current AY + 10Y | Archive | JISCDPA 2018 |
| Research Ethics Forms | Academic Deans of Faculties, (specifically relevant supervisor and researcher) | Completion of project + 6Y | Destroy | JISCDPA 2018 |
| Data subject consent forms for trials and studies | Academic Deans of Faculties (specifically relevant supervisor and researcher) | **MRC Funded research:**Completion of project + 30Y**Other:**Completion of project + 6Y | Destroy | Medical Research Council, PersonalInformation in Medical Research, section7.1.2DPA 2018 |
| Research data produced through the life of the project | Academic Deans of Faculties (specifically relevant supervisor and researcher) | Completion of the project + 10Y (or longer if required by funder /sponsor / regulatory body)**MRC:** Completion of project + 10Y but research records relating to clinical or public health studies should be retained for 20Y | Archive | Stated or implied requirements of UKResearch Councils and other significantresearch sponsors.Medical Research Council, Good ResearchPractice, section 5.2Medical ResearchCouncil, Personal Information in MedicalResearch, section 7.1.2DPA 2018 |
| Records containing data on, and analyses of,student numbers and other programme statistics relating to research projects | Academic Deans of Faculties (specifically relevant supervisor and researcher) | Current AY + 3Y | Destroy | JISCDPA 2018 |
| Case files relating to allegations of researchmisconduct | Ethics Committee, Academic Deans of Faculties | End of research contract + 6Y | Destroy | DPA 2018 |
| Closed research account project files | Director of Research, Strategic Director of Knowledge TransferAcademic Deans of Faculties, Director of Finance | Current AY + 6Y | Archive | Limitation Act 1980 c 58 DPA 2018 |
| **8 ALUMNI** |
| Records containing personal data on individual alumni |  Academic Deans of Faculties, Marketing Recruitment and Communications, relevant Directors,  | Indefinitely (providing valid consent has been obtained) |  | JISCDPA 2018 |
| Summary (anonymised) statistical records of alumni |  Academic Deans of Faculties, Marketing Recruitment and Communications, relevant Directors, | Current AY + 10Y | Destroy | JISCDPA 2018 |
| Alumni surveys | Academic Deans of Faculties, Marketing Recruitment and Communications, relevant Directors, | **Individual responses**: Completionof analysis of survey responses**Summaries:** completion of survey + 3Y | Destroy | JISCDPA 2018 |
| Organisation and Reports of Alumni events and associated ephemera |  Academic Deans of Faculties, Marketing Recruitment and Communications, relevant Directors | Completion of event + 3Y | Destroy | JISCDPA 2018 |
| Donation and Gift Aid Forms | - Marketing Recruitment and Communications, Academic Deans of Faculties and relevant Directors | Current AY + 6Y | Destroy | JISCDPA 2018 |
| Donor agreements / contracts | Marketing Recruitment and Communications, Academic Deans of Faculties and relevant Directors | **By Deed:** termination of contract + 12Y**Other contracts:** termination of contract + 6Y | Destroy | JISCDPA 2018 |
| **9 EMPLOYABILITY**  |
| Policies and Procedures | Director of Employability | Superseded + 5Y | Archive | JISC |
| Careers related publications (e.g. leaflets / booklets) | Director of Employability | Superseded + 1Y | Destroy | JISC |
| Records documenting career advice to individual students | Director of Employability | Current AY + 6Y | Destroy | JISCDPA 2018Limitation Act 1980 c 58 |
| Employability events | Director of Employability | Current AY + 3Y | Destroy | JISC |
| Placement information | Director of Employability | Current AY + 3Y | Destroy | MDXDPA 2018 |
| Unitemps data | Director of Employability | End of contract + 6Y | Destroy | MDXDPA 2018 |
| **10 FINANCE** |
| Finance Committee Agenda, Minutes and Papers | Director of Finance | Superseded + 5Y | Archive | MDX |
| Financial Regulations | Director of Finance | Superseded + 5Y | Archive | MDX |
| Financial forecasts | Director of Finance, | Current FY + 1Y | Destroy | MDX |
| Annual reports | Director of Finance | Current FY + 10Y | Archive | MDX |
| Audit reports | Director of Finance | Completion of audit + 5Y | Destroy | JISC |
| HESA Finance returns | Director of Finance | Submission of report + 3Y | Archive | MDX |
| **10.1 University Accounting** |
| Purchase orders, purchase invoices, sales invoices, credit card records, expenses payments, petty cash handling, retail sales transactions and other transaction records | Director of Finance, Head of Procurement and Insurance | Current AY + 6Y | Destroy | VAT Act 1994 c 23, Limitation Act 1980 c 58Tax Act 1970 c. 9 s 34HMRC 700/21 para. 2 |
| Monitoring of income and expenditure against annual operating budgets, and action taken to deal with variances | Director of Finance, Head of Procurement and Insurance | Current AY + 1Y | Destroy | JISC |
| Preparation of annual operating budgets | Director of Finance, Head of Procurement and Insurance | Current AY + 1Y | Destroy | JISC |
| Preparation of annual accounts | Director of Finance | Current AY + 6Y | Destroy | Limitation Act 1980 c 58 |
| Annual accounts | Director of Finance | Current AY + 6Y | Destroy | Limitation Act 1980 c 58 |
| **10.2 Student Finance** |
| Receipt and processing of tuition fees | Director of Finance | End of student contract + 6Y | Destroy | Limitation Act 1980;Tax Act 1970 c. 9 s 34DPA 2018 |
| Records documenting the handling of applications for remission of tuition fees: successful applications. | Director of Finance | Determination of application + 6Y | Destroy | Limitation Act 1980 c 58DPA 2018 |
| General administration of financial aid, emergency or hardship funds, scholarshipsand bursaries | Director of Finance, Director of Library and Student Support, Academic Registrar and Senior Management Team | Current AY + 6Y | Destroy | Limitation Act 1980;Tax Act 1970 c. 9 s 34DPA 2018 |
| **10.3 Payroll Administration** |
| Processing of non-statutory deductions fromsalaries, deduction authorisations, tax code notices | Director of Finance | Current Tax Y + 6Y | Destroy | Limitation Act 1980 c 58DPA 2018 |
| Payroll Payments, salary advises, bank transfer reports | Director of Finance | Current TY + 4Y | Destroy | Tax Act 1970 c. 9 s 34DPA 2018 |
| Reports and payments to HMRC | Director of Finance | Current TY + 3Y | Destroy | SI 2003/2682 Regulation 97(8)DPA 2018 |
| Employee leave and sickness absences | Director of Finance | Current TY + 3Y | Destroy | SI 2003/2682 Regulation 97(8)DPA 2018 |
| Tax code notices | Director of Finance | Current TY + 3Y | Destroy | SI 2003/2682 Regulation 97(8)DPA 2018 |
| Taxable expenses or benefits | Director Finance | Current TY + 3Y | Destroy | SI 2003/2682 Regulation 97(8)DPA 2018 |
| Payroll Giving Scheme documents, includingthe agency contract and employee authorisation forms | Director Finance | Current TY + 3Y | Destroy | SI 2003/2682 Regulation 97(8)DPA 2018 |
| Staff pension records | Director of HR | Retain until termination of employment /retirement + 75 Y | Destroy | Limitation Act 1980 c 58DPA 2018 |
| Notifications to staff of their employment relations tax liabilities | Director of Finance | Current TY + 6Y | Destroy | Limitation Act 1980 c 58DPA 2018 |
| **10.4 Funding Administration**  |
| Administration of annual funding allocations from OfS and other funding bodies | Director of Finance | End of current F Year + 10 Y | Destroy | JISC |
| Administration of research grants from Funding Research Councils, the EU or other funders | Director of Finance, Director of Research, Director of Knowledge Transfer | End of grant + 6 Y (or longer if required by the funding agreement) | Destroy | Limitation Act 1980 c 58 |
| Administration of scholarship funds | Director of Finance | Current F Year + 6Y | Destroy | Limitation Act 1980 c 58DPA 2018 |
| **10.5 Cash, Investment and Asset Management**  |
| Credit share certificates | Director of Finance | Current TY + 6Y | Destroy | Limitation Act 1980 c 58 |
| Capital asset register | Director of Finance | Current FY + 6Y | Destroy | Limitation Act 1980 c 58Tax Act 1970 c. 9 s 34 |
| Valuations of capital assets | Director of Finance | Superseded + 6Y | Destroy | Limitation Act 1980 c 58 |
| Opening and closing of bank accounts | Director of Finance | Closure of account + 6Y | Destroy | Limitation Act 1980 c 58 |
| Standing order and direct debit instructions | Director of Finance | End of instruction + 6Y | Destroy | Limitation Act 1980 c 58 |
| Bank statements and associateddocumentation | Director of Finance | End of current FY + 6Y | Destroy | Limitation Act 1980 c 58 |
| Purchase and sale of investments | Director of Finance | Date of transaction + 6Y | Destroy | Limitation Act 1980 c 58 |
| Investment instructions | Director of Finance | Current TY + 6Y | Destroy | Limitation Act 1980 c 58Tax Act 1970 c. 9 s 34 |
| **10.6 Tax** |
| Assessment of VAT liabilities | Director of Finance | Current TY + 6Y | Destroy | VAT Act 1994 |
| VAT return | Director of Finance | Current TY + 6Y | Destroy | VAT Act 1994, c. 23 s58 and Schedule 11, para 6(3)SI 1995/2518 s 31HMRC 700/21 para. 2 |
| Corporation tax returns and assessments | Director of Finance | Current TY + 6Y | Destroy | Limitation Act 1980 c 58Tax Act 1970 c. 9 s 34 |
| Other tax returns | Director of Finance | Current TY + 6Y | Destroy | Limitation Act 1980 c 58Tax Act 1970 c. 9 s 34 |
| **10.7 Insurance** |
| Liability Insurance Certificates | Head of Procurement and Insurance, Director of Finance | Commencement/Renewal of policy + 40Y | Destroy | SI 1998/2573 Regulation 4(4) |
| Insurance policies | Head of Procurement and Insurance, Director of Finance | Retain until policy terminated + 6 Y | Destroy | Limitation Act 1980 c 58 |
| Insurance claims |  Head of Procurement and Insurance, Director of Finance | Retain until settlement of claim + 6Y | Destroy | Limitation Act 1980 c 58 |
| Insurance reports |  Head of Procurement and Insurance, Director of Finance | Retain until settlement of claim + 6Y | Destroy | Limitation Act 1980 c 58 |
| Insurance inspection reports for equipment |  Head of Procurement and Insurance, Director of Finance | Retain for life of equipment + 6Y | Destroy | SI 1998/2306 Regulation 5(2)Limitation Act 1980 c. 58 |
| **11 Procurement** |
| Contract Documents / Orders | Head of Procurement and Insurance; Relevant Academic Deans of Faculty, Directors of Services | Retain until end of project + 12Y | Destroy | Limitation Act 1980 c 58 |
| Tender Invite Documents | Head of Procurement and relevant Directors of Services | Termination of supply contract awarded+ 6Y | Destroy | Limitation Act 1980 c 58Consumer ProtectionAct 1987 |
| Tender Evaluation, Return and Report | Head of Procurement | Termination of supply contract awarded+ 6Y | Destroy | Limitation Act 1980 c 58 |
| Tender received (Successful Contractor) | Head of Procurement | Termination of contract + 6Y | Destroy | Limitation Act 1980 c 58 |
| Unsuccessful tenders | Head of Procurement | Award of supply contract + 1Y | Destroy | JISC |
| Contract award notices sent to the OfficialJournal | Head of Procurement | Termination of contract + 6Y | Destroy | Limitation Act 1980 c 58 |
| Internal authorisation for procurement | Head of Procurement | Current FY + 1Y | Destroy | JISC |
| Supplier evaluation reports | Head of Procurement, relevant Academic Deans of Faculty, relevant Directors of Service | Date of inspection + 5Y | Destroy | JISC |
| Register of approved suppliers | Head of Procurement, Director of Finance | Current AY + 5Y | Destroy | Consumer ProtectionAct 1987JISC |
| Framework Supplier files | Head of Procurement | Retain until termination ofrelationship + 2Y | Destroy | MDX |
| Framework Supplier performance reviews | Head of Procurement, relevant Director of Service, Academic Dean of Faculty | Retain until termination of supply contract + 6Y | Destroy | MDXLimitation Act 1980 c 58 |
| Requests for proposals / Proposal evaluationdocumentation | Head of Procurement, relevant Director of Service, Academic Dean of Faculty | **Successful proposals:** Retain until termination of supply contract + 6Y**Unsuccessful proposals:** 1Y | Destroy | Limitation Act 1980 c 58Consumer ProtectionAct 1987 |
| Consultant Fee Proposals / Appointment |  Head of Procurement, relevant Director of Service, Academic Dean of Faculty | Retain until end of project + 12Y | Destroy | MDX |
| **12 Property Management** |
| Title deeds | Director of EFMS | Disposal of property + 12Y | Archive | Limitation Act 1980 c 58 |
| Leases | Director EFMS | Expiry of lease + 15Y | Destroy | Limitation Act 1980 c 58 |
| Mortgage deeds | Director of EFMS | Termination of contract + 12Y | Destroy | Limitation Act 1980 c 58 |
| Planning Applications and Consents | Director of EFMS | Disposal of property or expiry of consent | Destroy | JISC |
| Building Plans / drawings | Director of EFMS | Disposal of property + 12Y | Archive | MDXLimitation Act 1980 c 58 |
| Collateral Warranties | Director of EFMS | **By deed:**Termination of contract + 12Y**Other contracts:**Termination of contract + 6Y | Destroy | Limitation Act 1980 c 58 |
| Novation Agreements | Director of EFMS | **By deed:**Termination of contract + 12Y**Other contracts:**Termination of contract + 6Y | Destroy | Limitation Act 1980 c 58 |
| **12.1 Property Maintenance**  |
| Health and Safety File for a structure, as required by Regulation 12 of Construction (Design and Management) Regulations 2015/51 | Director of EFMS | Demolition of property or Disposal of interest in property | Destroy | Construction (Design and Management)Regulations 2015/51 Regulation 12 |
| Manuals (digital and hard copy), policies andprocedures | Director of EFMS | Superseded + 10Y | Destroy | JISC |
| Acquisition of objects for the institution's collections; Accession records | Director of EFMS, relevant Academic Deans of Faculty/ Directors of Service | Disposal of object + 12Y | Archive | JISC |
| Loan records including loans of objects tothe institution by other organisations or byindividuals | Director of EFMS, relevant Academic Deans of Faculty/ Directors of Service | Disposal of object + 12Y | Archive | JISC |
| Handover Certificates | Director of EFMS | Retain until end of project + 12Y | Destroy | MDXLimitation Act 1980 c 58 |
| Final Accounts | Director of EFMS | Retain until end of project + 12Y | Destroy | MDXLimitation Act 1980 c 58 |
| Practical Completion Certificates | Director EFMS | Retain until end of project + 12Y | Destroy | MDXLimitation Act 1980 c 58 |
| Project Filing | Director EFMS | Current AY + 6Y | Destroy | MDXLimitation Act 1980 c 58 |
| Building Reg. Approval | Director EFMS | Disposal of property or expiry of approval | Destroy | JISC |
| Plant maintenance, tests, statutory inspections and corrective action | Director EFMS | Retain for life of equipment + 6Y | Destroy | SI 1998/2306 Regulation 5(2)Limitation Act 1980 c. 58 |
| **12.2 Equipment Maintenance**  |
| Inspection, testing and maintenance ofequipment: items which are safety critical orare associated with hazardous operations | Director EFMS | Decommissioning/Disposal + 15Y | Destroy | Limitation Act 1980 c. 58 |
| Inspections of equipment, under Regulation6 of the Provision and Use of WorkEquipment Regulations 1998 (SI 1998/2306) | Director EFMS | Completion of subsequent inspection | Destroy | SI 1998/2306 Regulation 6(3) |
| Inspection, testing and maintenance of pressure systems equipment under Reg 14 of the Pressure Systems Safety Regulations 2000 | Director EFMS | Date of examination/test/repair + 5Y | Destroy | MDX |
| Inspection, testing and maintenance of any gas appliance, installation pipework or flue under Reg 35 and 36 of the Gas Safety (Installation and Use) Regulations 1998 | Director EFMS | Date of examination/test/repair + 5Y | Destroy | MDXReg 36 of the Gas Safety (Installation and Use) Regulations 1998 |
| All reports of statutory examinations of liftingequipment, as required by Regulation 9(1)and 9(2) of the Lifting Operations and LiftingEquipment Regulations 1998 (SI 1998/2307) | Director EFMS | Decommissioning | Destroy | SI 1998/2307 Regulation 11(2)(a)(i) and 11(2)(a)(iii) |
| Maintenance logs for equipment | Director EFMS | Retain for life of equipment + 6Y | Destroy | SI 1998/2306 Regulation 5(2)Limitation Act 1980 c. 58 |
| Corrective action schedules | Director EFMS | Current AY + 2Y | Destroy | MDX |
| Inspection certificates | Director EFMS | Retain for life of equipment + 6Y | Destroy | SI 1998/2306 Regulation 5(2)Limitation Act 1980 c. 58SI 1998/2306 Regulation 6(3) |
| Maintenance certificates | Director EFMS | Retain for life of equipment + 6Y | Destroy | SI 1998/2306 Regulation 5(2)Limitation Act 1980 c. 58 |
| General repair reports | Director EFMS | Retain for life of equipment + 6Y | Destroy | Limitation Act 1980 c. 58 |
| **13 SECURITY AND POSTAGE** |
| Courier logs | Director EFMS, Director of Facilities | Current AY + 1Y | Destroy | MDXDPA 2018 |
| Postage logs | Director EFMS, Director of Facilities | Current AY + 1Y | Destroy | MDXDPA 2018 |
| Key issue / return logs |  Director of Facilities | Current AY + 1Y | Destroy | MDXDPA 2018 |
| Visitor logs |  Director of Facilities, Director of Library and Student Support  | Current AY + 1Y | Destroy | MDXDPA 2018 |
| Access logs | Director Facilities  | Current AY + 1Y | Destroy | MDXDPA 2018 |
| CCTV Footage | Director of Facilities | 2 calendar months (unless evidence for an incident) | Destroy | MDXDPA 2018 |
| Incident logs | Director of EFMS | Last action on incident + 1Y | Destroy | MDXDPA 2018 |
| Student and Staff Photographs | Director of Facilities  | Graduation of studentTermination of employment | Destroy | MDXDPA 2018 |
| **14 HEALTH AND SAFETY** |
| Health and Safety policy | Director of EFMS and reporting managers in Health and Safety Unit, UET, Academic Deans of Faculty, relevant Directors | Superseded + 5 Y | Archive | JISC |
| Health and Safety Committee agendas, minutes and papers | Chair and Secretary of Corporate Health and Safety Committee | Current AY + 6Y | Archive | JISC |
| Departmental Health and Safety CommitteeMinutes | Relevant Academic Deans of Faculty/ Directors of Service | Current AY + 6Y | Archive | MDXJISC |
| Records of injuries, dangerous occurrences and notifiable diseases to meet statutory duties under SI 2013/1471 | UET, Health and Safety manager for occupational health and wellbeing, Director of EFMS, other relevant Directors of services | Date of notification + 3Y | Destroy | Limitation Act 1980 c. 58The Reporting of Injuries, Diseases andDangerous Occurrences Regulations 2013 -SI 2013/1471DPA 2018 |
| Formal investigations and reports into injuries,dangerous occurrences, accidents, incidentsinvolving hazardous substances, environmental incidents and outbreaks of notifiable diseases on University premises | UET, Health and Safety manager for occupational health and wellbeing, Director of EFMS, other relevant Directors of services | Closure of investigation + 40Y | Destroy | MDXSI 2002/2677 regs 10(5)(a), 11(3), Such 3 para 4(3)SI 2012/632 regs 19(4)(a), 2(1)(b)DPA 2018 |
| Documentation of training and instructioncarried out to meet statutory duties under SI2005/1643, 2002/2677, 2012/632, 1999/3242 | UET, Health and Safety manager for occupational health and wellbeing, Director of EFMS, other relevant Directors of services | End of employment +40 years | Destroy | MDXSI 2002/2677SI 2005/1643SI 2012/632SI 1999/3242DPA 2018 |
| Accident Report Form F2508 | UET, Health and Safety manager for occupational health and wellbeing, Director of EFMS, other relevant Directors of services | Retain from date of entry + 3Y | Destroy | Reporting of Injuries, Diseases andDangerous Occurrences Regulations 1995;In line with Regulation 7(3)DPA 2018 |
| Conduct, review and revision of fire safetyrisk assessments under Article 9 of theRegulatory Reform (Fire Safety) Order 2005(SI 2005/1541) or Section 53 and/or Section54 of the Fire (Scotland) Act 2005 (asp 5) | UET, Health and Safety manager for occupational health and wellbeing, Director of EFMS, other relevant Directors of services | Superseded + 5Y | Destroy | JISCDPA 2018 |
| Fire safety arrangements including PEEPprocedures | UET, Health and Safety manager for occupational health and wellbeing, Director of EFMS, other relevant Directors of services | Superseded + 5Y | Destroy | JISCDPA 2018 |
| Conduct, review and revision of assessments of requirements for first aid facilities, equipment and trained personnel under Regulation 3 of the Health and Safety (First Aid) Regulations 1981 (SI 1981/917) | UET, Health and Safety manager for occupational health and wellbeing, Director of EFMS, other relevant Directors of services | Superseded + 3 Y | Destroy | JISCDPA 2018 |
| Conduct, review and revision of assessments of the risks to health created by work with substances hazardous to health, under Regulation 6 of the Control of SubstancesHazardous to Health (COSHH) Regulations2002 (SI 2002/2677) | UET, Health and Safety manager for occupational health and wellbeing, Director of EFMS, other relevant Directors of services | **Regulation 6 (assessments):** Current AY + 10Y**Regulation 10 (personal exposures):**Current AY + 40Y | Archive | Control of Substances Hazardous to HealthRegulations 1994Health and Safety Display Regulations 1992Health and Safety at Work ActJISCDPA 2018 |
| Conduct, review and revision ofassessments of the risks to health and safety created by exposure to noise, made under Regulation 5 of the Control of Noise at Work Regulations 2005 (SI 2005/1643) | UET, Health and Safety manager for occupational health and wellbeing, Director of EFMS, other relevant Directors of services | Superseded + 10Y | Destroy | JISCDPA 2018 |
| Conduct and results of examinations toprevent exposure to lead under Regulations8, 9 and 10 of the Control of Lead at WorkRegulations 2002 (SI 2002/2676) | UET, Health and Safety manager for occupational health and wellbeing, Director of EFMS, other relevant Directors of services | Superseded + 10Y | Destroy | SI 2002/2676, Regulations 8(4), 9(4) and 9(5)DPA 2018 |
| Conduct and results of examinations toprevent exposure to asbestos, underRegulations 6(4), 7(2), 13(3), 19(4), and 22(4)of the Control of Asbestos Regulations 2012(SI 2012/632) | UET, Health and Safety manager for occupational health and wellbeing, Director of EFMS, other relevant Directors of services | Subsequent AY + 10Y | Archive | JISCSI 2012/632 Regulations 6(4), 7(2), 13(3),19(4), and 22(4)DPA 2018 |
| Conduct, review and revision of assessmentsof the risks to health and safety created byworking with Genetically Modified Organisms | UET, Health and Safety manager for occupational health and wellbeing, Director of EFMS, other relevant Directors of services | Completion of work + 10Y | Destroy | Genetically Modified Organisms (ContainedUse) Regulations 2014 (‘the GMO (CU)Regulations’)DPA 2018 |
| Display Screen Equipment (DSE) | UET, Health and Safety manager for occupational health and wellbeing, Director of EFMS, other relevant Directors of services | Superseded + 5 Y | Destroy | JISCDPA 2018 |
| Risk Assessments and health and safety inspections | UET, Health and Safety manager for occupational health and wellbeing, Director of EFMS, other relevant Directors of services | Superseded + 5Y**COSSHH:** **Regulation 10 (personal exposures):** Current + 40Y | DestroyArchive | Management of H & S at Work Regulations 1992Workplace H, S & Welfare Regulations 1992DPA 2018 |
| Health and safety training records, includingfire safety training and first aid training records | UET, Health and Safety manager for occupational health and wellbeing, Director of EFMS, other relevant Directors of services | Superseded + 5Y | Destroy | JISCDPA 2018 |
| Permit to work | UET, Health and Safety manager for occupational health and wellbeing, Director of EFMS, other relevant Directors of services | Current AY + 3Y | Destroy | MDXLimitation Act 1980 c. 58DPA 2018 |
| **14.1 Environment** |
| Attainment and maintenance of under established environmental management schemes | Director of EFMS | Termination/ expiry of certification + 1Y | Destroy | JISC |
| Environmental incidents/ accidents and investigation of those incidents | Director of EFMS | Last action on incident + 40Y | Destroy | JISCDPA 2018 |
| Environmental audits, and action taken toaddress issues raised | Director of EFMS | Completion of audit + 5Y | Destroy | JISC |
| Reviews of the use and consumption of energy | Director of EFMS | Current AY + 5Y | Destroy | JISC |
| Records documenting non-hazardous waste disposal | Director of EFMS | Removal of waste + 2Y | Destroy | JISC |
| Records documenting hazardous waste disposal (clinical and chemical) in accordance with Regulations 47, 48, 49 and 51 of the Hazardous Waste Regulations SI 2005/894 | Director of EFMS, relevant Academic Deans of Faculty and Directors of services | Removal of waste + 3Y | Destroy | Hazardous Waste Regulations SI 2005/894 Regulations 47, 48, 49 and 51 |
| Register of 'special waste' removed from the premises for disposal by registered/licensed contractors, as required by Regulation 15 of the Special Waste Regulations 1996 (SI1996/972) | Director of EFMS,  | Removal of waste consignment + 3Y | Destroy | SI 1996/972 Regulation 15(4) |
| Records documenting historic occurrences, management and removal of ‘invasive plants’ listed in schedule 9 of the Wildlife and Countryside Act 1981 e.g. Japanese Knotweed |  Director of EFMS,  | Permanent |  | Wildlife and Countryside Act 1981 |
| Records documenting evidence of vehicle service records and MOT certificates for EFMS Vehicle fleet | Director of EFMS | Duration of vehicle ownership | Destroy | Road Traffic (Vehicle Emissions) (Fixed Penalty) (England) Regulations SI 2002/1808 |
| Records documenting drain types and location e.g. surface water and foul drains | Director of EFMS | Permanent | Destroy | Water Resources Act 1991 SI 1991/57 – control of pollution of water resourcesControl of Pollution (Oil Storage) (England)Regulations 2001 |
| Records documenting the energy performance of buildings | Director of EFMS | Duration of validity + 2Y | Destroy | SI 2015/609The Energy Performance of BuildingRegulations 2015 |
| Records documenting Fluorinated Gases and Ozone Depleting Substances in air conditioning and refrigeration equipment, records of equipment tests and competency records of those testing equipment | Director of EFMS | Date of test + 5Y | Destroy | SI 2015/310Fluorinated Greenhouse Gases Regulations 2015SI 2015/168Ozone Depleting Substances Regulations2015 |
| **15 CONFERENCES AND EVENTS** |
| Administration around conferences and events | Director of Relevant Service/Faculty | Current AY + 2Y (6Y for any financial information) | Destroy | Limitation Act 1980 c. 58DPA 2018 |
| Venue hire contracts | Director of Relevant Service/Faculty, Director of EFMS | Termination date + 6Y | Destroy | Limitation Act 1980 c. 58DPA 2018 |
| Supplier contracts | Director of Relevant Service/Faculty, Director of EFMS | Termination date + 6Y | Destroy | Limitation Act 1980 c. 58DPA 2018 |
| **16 HUMAN RESOURCES**  |
| HR, Regulations, Policies and Codes of Practice | Director of HR  | Superseded + 5Y | Archive | JISCDPA 2018 |
| Definition of staffing requirements and evaluation of employment options | Director of HR, relevant Academic Deans of Faculty, other relevant Directors. Faculty/Service | Current AY + 3Y | Destroy | JISCDPA 2018 |
| Remuneration structures and Records documenting the calculation employees’ salaries | Director of HRS, Director of Finance, Clerk to the Board of Governors | Superseded + 6 Y | Archive | Limitation Act 1980 c. 58DPA 2018 |
| Restructuring documents | Director of HRS, UET, relevant Academic Deans of Faculty/ relevant Service Director | Superseded + 5Y | Destroy | JISCDPA 2018 |
| Core records of individual members of staff, including:(a) basic personal details(b) initial application for employment, supporting documentation and related correspondence (e.g. references, statutory checks, work permits)(c) contract(s) of employment and records ofchanges to terms and conditions | Director of HRS | Termination of employment + 6Y | **Electronic****records:** Archive**Paper records:** Destroy | Limitation Act 1980 c. 58DPA 2018JISC |
| Tier 2 and Tier 5 Visa Holders Recruitment records (i.e. applications, interview notes, recruitment decision summary grid etc), absence records (i.e. sickness, family leave and annual leave records) and documents relating to sponsorship application (i.e. qualification certificate, job adverts, job description, allowance valuations) | Director of HRS | - 1 Y from the date the sponsorship of the migrant has ended or- if the migrant is no longer sponsored by MDX, the point at which a complianceOfficer has examined and approved them, whichever period is shorter | Destroy | Home Office requirementDPA 2018 |
| Recruitment documentation including authorisation to recruit, adverts, short listing notes etc. | Director of HR, relevant Academic Deans of Faculty, Director of Marketing, Recruitment and Communication, / other applicable Directors of Service | Completion of process + 3Y | Destroy | Equality Act 2010Employment Practices Code, Section 1.7.1(Information Commissioner’s Office, 2005)DPA 2018 |
| Job descriptions | Director of HR, relevant Academic Deans of Faculty, Director of Marketing, Recruitment and Communication, / applicable Directors of Service | Added to staff fileSuperseded + 5Y | Destroy | JISC |
| Job application forms | Director of HR, relevant Academic Deans of Faculty, Director of Marketing, Recruitment and Communication, / applicable Directors of Service | **Successful candidates:** Termination of employment + 6Y (as part of employee contract records)**Unsuccessful candidates:** Completion of recruitment process + 6 Ms | Destroy | Equality Act 2010Limitation Act 1980 c. 58DPA 2018 |
| Copy of right to work check documents | Director of HR, relevant Academic Deans of Faculty, Director of Marketing, Recruitment and Communication, / applicable Directors of Service | Termination of employment + 2Y | Destroy | Home Office requirementDPA 2018 |
| Records of induction programmes attended | Director of HR (Staff Development) | Termination of employment + 3Y | Destroy | JISCDPA 2018 |
| Records of general training and development programmes attended | Director of HR, Staff Development | Termination of employment + 3Y | Destroy | JISCDPA 2018 |
| Statutory training records (for COSHH trainingrecords please see s. 15) | Director of HR, relevant Academic Deans of Faculty, applicable Directors of Service | Expiry of certificate + 6Y | Destroy | JISCDPA 2018 |
| Employee leave and sickness absences | Director of HR, relevant  Academic Deans of Faculty, applicable Directors of Service | Current TY + 3Y | Destroy | SI 2003/2682 Regulation 97(8)DPA 2018 |
| Maternity/Adoption/Paternity leave records | Director of HR, relevant Academic Deans of Faculty, applicable Directors of Service | Current TY + 3Y | Destroy | Statutory Maternity Pay (General) Regulations 1986Maternity and Parental Leave etc. Regulations 1999/3312SI 2003/2682 Regulation 97(8)DPA 2018 |
| Parental leave records | Director HR, relevant Academic Deans of Faculty, applicable Directors of Service | 18Y from the birth/adoption of the child | Destroy | Maternity and Parental Leave etc. Regulations 1999/3312DPA 2018 |
| Appraisal forms | Director of HR, relevant Academic Deans of Faculty, applicable Directors of Service | Termination of employment + 6Y | Destroy | JISCLimitation Act c 58DPA 2018 |
| Staff disciplinary / grievance case files | Director of HR, relevant Academic Deans of Faculty, applicable Directors of Service | **HR:** Closure of case + 6Y**Departments:** Closure of case then pass to HR | Destroy | JISCLimitation Act c 58DPA 2018 |
| Agreements and negotiations with recognised trades unions | Director of HR | Current AY + 20Y | Destroy | JISCDPA 2018 |
| Redundancy details, calculation of payments, refunds, notification to the Secretary of State | Director of HR UETUET | Termination of employment + 6Y | Destroy | Limitation Act c 58DPA 2018 |
| Retirement records | Director of HR  | Termination of employment + 6Y | Destroy | Limitation Act c 58DPA 2018 |
| Exit questionnaire reports | Director of HR  | Current AY + 5Y | Destroy | MDXDPA 2018 |
| References provided by the University to thirdparties about an employee | Director of HR  | Termination of employment + 6Y | Destroy | Limitation Act c 58DPA 2018 |
| **17 OCCUPATIONAL HEALTH** |
| Documentation of health monitoring and surveillance carried out to meet statutory duties under SI 2005/1643, 2002/2677, 2012/632, 1999/3242 | UET, Director of EFMS, Director of HR  | End of employment + 40Y | Destroy | Control of SubstancesHazardous to HealthRegulations 1994Health and Safety Display Regulations 1992SI 2002/2676 Regulation 10(5) |
| Conduct, review and revision of assessments of the risks to health created by work involving lead | Director of EFMS, Director of HR | Current AY + 10Y | Destroy | Regulation 5 of the Control of Lead at WorkRegulations 2002 (SI 2002/2676)DPA 2018 |
| Occupational Health records for individual employees | Director of EFMS, Director of HR | End of employment + 6Y | Destroy | MDXDPA 2018 |
| Medical records as specified by the COSHH Regulations (including Health Surveillance Forms) | Director of EFMS, Director of HR | Current AY + 40Y | Destroy | Control of Substances Hazardous to HealthRegulations 1994SI 2002/2677 Regulation 7(10) and Schedule 3, para. 4(3)DPA 2018 |
| Medical records under the Control of Asbestos at Work Regulations | Director of EFMS, Director of HR | Current AY + 40Y | Destroy | Control of Asbestos atWork Regulations 1987DPA 2018 |
| Health records under the Ionising Radiations Regulations 1999, Regulation 24 (3) | Director of EFMS, Director of HR | Until the person is 75yo or at least 50Y from the date of the last entry | Destroy | Ionising RadiationsRegulations 1999, 24 (3)DPA 2018 |
| Health surveillance of employees who are exposed to noise, carried out to fulfil the duties under Regulation 9 of the Control of Noise at Work Regulations 2005 (SI2005/1643). | Director of EFMS, Director of HR | Date of last entry in record + 40Y | Destroy | JISCDPA 2018 |
| **18 EQUALITY AND DIVERSITY** |
| Equality and Diversity Committee agenda, minutes and papers | Director of HR, Committee Chair and Secretary | Superseded + 5Y | Archive | MDX |
| Policies, procedures and regulations (including strategy) |  Director of HR, Equality and Diversity Lead | Superseded + 5Y | Archive | JISC |
| Annual Equality Report | Director of HR, Equality and Diversity Lead | Superseded + 5Y | Destroy | JISC |
| Annual reports on the implementation of the institution's Disability Equality Scheme | Director of HR, Head of Equality and Diversity and Inclusion, and other relevant Directors of Service  | Current AY + 5Y | Destroy | JISC |
| Formal complaints about discrimination by or within the institution |  Director of HR, and other relevant Directors of Service | Last action on case + 6Y | Destroy | Limitation Act c 58DPA 2018 |
| Assessments of the impact of the institution's policies on equality | Director of HR, Head of Equality and Diversity and Inclusion, and other Directors of services, Head of Health and Safety Unit, Academic Deans of Faculty  | Superseded + 5Y | Destroy | JISC |
| Annual reports on the implementation of the institution's Gender Equality Scheme | Director of HR, Head of Equality and Diversity and Inclusion. and other relevant Directors of services.  | Superseded + 5Y | Destroy | JISC |
| **19 MARKETING AND COMMUNICATIONS** |
| Press releases and media communications | Relevant staff in the Marketing, Recruitment and Engagement Team managed by the Director of Strategic Communications and Public Affairs.  | Date of issue + 10Y | Destroy | MDX |
| Press clippings relating to Middlesex University |  Relevant staff in the Marketing, Recruitment and Engagement Team managed by the Director of Strategic Communications and Public Affairs.  | Permanent (transfer to Archive periodically) |  | MDX |
| Middlesex news and other internal communications |  Relevant staff in the Marketing, Recruitment and Engagement Team managed by the Director of Strategic Communications and Public Affairs.  | Permanent (transfer to Archive periodically) |  | MDX |
| Media enquiries and responses |  Relevant staff in the Marketing, Recruitment and Engagement Team managed by the Director of Strategic Communications and Public Affairs.  | Last action on enquiry + 5Y | Destroy | MDX |
| Prospectuses (Undergraduate and Postgraduate) | Relevant staff in the Marketing & Recruitment and Engagement Team managed by the Director of Strategic Communications and Public Affairs.  | Completion of programme + 5Y | Destroy | JISC |
| Other University official publications |  Relevant staff in the Marketing & Recruitment and Engagement Team managed by the Director of Strategic Communications and Public Affairs.  | Permanent (transfer to Archive periodically) |  | MDX |
| Records detailing the design of University branding (logos, etc.) | Relevant staff in the Marketing & Recruitment and Engagement Team managed by the Director of Strategic Communications and Public Affairs.  | Superseded | Archive | MDX |
| Records detailing the design and conduct ofmarketing and advertising campaigns | Relevant staff in the Marketing, Recruitment and Engagement Team managed by the Director of Strategic Communications and Public Affairs.  | Completion of campaign + 6Y | Destroy | MDX |
| Website content | Relevant staff in the Marketing, Recruitment and Engagement Team managed by the Director of Strategic Communications and Public Affairs.  | Superseded | Destroy | MDX |
| Events schedule and administration | Relevant staff in the Marketing, Recruitment and Engagement Team managed by the Director of Strategic Communications and Public Affairs.  | Completion of event + 1Y | Archive | MDX |
| **20 INFORMATION TECHNOLOGY** |
| Information System Policies and Codes ofPractice | CCSS Pro Vice Chancellor and Director of Service | Superseded + 5Y | Archive | JISC |
| Development, implementation, modification and maintenance of IT systems | CCSS Pro Vice Chancellor and Director of Service | Superseded + 5Y | Destroy | JISC |
| Specification of functional and technical requirements for IT hardware, software and networks | CCSS Pro Vice Chancellor and Director Service | Superseded + 5Y | Destroy | JISC |
| Records of testing and operation of hardware, software and networks | CCSS Pro Vice Chancellor and Director Service | Current AY + 1Y | Destroy | JISC |
| Management of data storage, including backup, archiving | CCSS Pro Vice Chancellor and Director Service | Retain while current + 1Y | Destroy | JISC |
| Outsourced software product development, implementation and technical support | CCSS Pro Vice Chancellor and Director Service | End of contract + 6Y | Destroy | Limitation Act 1980 c. 58 |
| Software licences | CCSS Pro Vice Chancellor and Director Service | Superseded + 6M | Destroy | MDX |
| Security arrangements for IT systems, certificates | CCSS Pro Vice Chancellor and Director Service | Superseded + 5Y | Destroy | JISC |
| Monitoring use and breaches of IT systems | CCSS Pro Vice Chancellor and Director Service | End of action on case + 6Y | Destroy | JISCDPA 2018Limitation Act 1980 c. 58 |
| Reports of maintaining network security, analysis reports | CCSS Pro Vice Chancellor and Director Service | Superseded + 5Y | Destroy | JISC |
| Records documenting faults reported by users to IT Helpdesk, and action taken to investigate and resolve the problem | CCSS Pro Vice Chancellor and Director Service | Last action on fault + 1Y | Destroy | JISCDPA 2018 |
| Records documenting faults reported by users to Estates Helpdesk, and action taken to investigate and resolve the problem | CCSS Pro Vice Chancellor and Director Service | Last action on fault + 1Y | Destroy | JISCDPA 2018 |
| **21 INFORMATION COMPLIANCE** |
| Granted permissions to copy from published works which are not covered by Copyright Licensing Agency (CLA) licences | Copyright Officer, Director of Library and Student Affairs (LSS) | Period for which permission is granted + 6Y | Destroy | Limitation Act 1980 c. 58 |
| Copyright Licences and Permissions (CLA; PRS; etc) | Copyright Officer, Director of LSS | Termination date + 6Y | Destroy | Limitation Act 1980 c. 58 |
| Copyright agreements (including assignments, licences to use, etc) | Copyright Officer, Director of LSS | **Deeds:** Termination date + 12Y**Contracts:** Termination date + 6Y | Destroy | Limitation Act 1980 c. 58 |
| Data protection policies and procedures | Data Protection Officer, Student & Legal Affairs | Superseded + 5Y | Archive | JISC |
| Notification of data controller details (to be added to the public register of data controllers) to the Information Commissioner's Office | Data Protection Officer, Student & Legal Affairs | Current AY + 1Y | Destroy | JISC |
| Requests for information held by the institution, made under the Freedom of Information Act 2000 (c. 36) and Environmental Information Regulations | Data Protection Officer, Student & Legal Affairs | Completion of request handling process + 3Y | Destroy | JISCDPA 2018Limitation Act 1980 c. 58 |
| Individual rights requests under the GDPR and DPA 2018 | Data Protection Officer, Student & Legal Affairs | Last action on request + 6Y | Destroy | MDXLimitation Act 1980 c. 58 |
| Information Governance Group papers and reports | Data Protection Officer, Chair and Secretary of the Group | Current AY + 10 Y | Destroy | JISCDPA 2018 |
| Records retention schedules | Data Protection Officer, Student & Legal Affairs | Superseded + 1Y | Archive | JISC |
| Data Breach Reports | Data Protection Officer, Student & Legal Affairs | Completion of investigation + 3Y | Destroy | MDX |
| **22 LIBRARY and UNIHELP** |
| Inter-library loan forms | Director of LSS | Current AY + 6Y | Destroy | DPA 2018Limitation Act 1980 c. 58 |
| Enquiry forms | Director of LSS | Current AY + 3Y | Destroy | MDXDPA 2018 |
| Loans records | Director of LSS | Current AY + 3Y | Destroy | MDXDPA 2018 |
| Pro-retention tickets |  Director of LSS | Last action on ticket + 3ms (for documents, ticket itself exists indefinitely)  | Destroy | MDXDPA 2018 |
| Student letters | , Director of LSS | 3ms | Destroy | MDXDPA 2018 |
| Coursework receipts |  LSS | Current AY | Destroy | MDXDPA 2018 |