

Retention of Records Schedule for Faculty Records

| | |
|-------------------|---|
| Summary | This document provides guidance on the recommended retention periods for Faculty records, in order to comply with legal and operational requirements including data protection legislation. |
| Author : | FEO's |
| Publication Date: | 8 th May 2019 |
| Version: | Draft v1 |

| Data Subject | Function | Type of Records | Retention Period |
|--------------------------------|----------------------------------|--|--|
| AUDIT | Risk Identification & Assessment | Records documenting identified risks and assessments of those risks. | Superseded + 1 year |
| | Audit Management | Records documenting the conduct and results of audits, and action taken to address any issues raised (if applicable). | Completion of audit + 5 years |
| CONFERENCING AND EVENTS | Events and Conference Management | Records documenting all events held by the Faculties, including internal or external contacts , including delegate registrations | Completion of event + 1 year |
| | Special Requirements management | Records documenting Personal Emergency Evacuation Plans (PEEP) and dietary requirements. | End of relevance of PEEP + 6 years |
| EXAM BOARDS | Examination Board Administration | Records documenting the conduct of the business of a committee: agenda, minutes and papers, correspondence and other records relating to the preparation of committee business or actions to be taken (or not taken) as a result of committee decisions. | Current academic year + 6 years |
| | Examination Papers | Electronic Examination papers | Current academic year + 6 years |
| FACULY ADMINISTRATION | Course Handbooks | | Paper = End of academic year Electronic = Exit (either graduation, withdrawal or terminations of studies) + 6 years |

| | | | |
|--|---|---|--|
| | Course validation and information on Z and I network drives | | End of academic year + 6 years |
| | Moodle | | End of academic year + 5 years |
| | Attendance Monitoring | Records documenting attendance monitoring | Paper = End of academic year + 1 years Electronic = Exit (either graduation, withdrawal or terminations of studies) + 1 years |
| | Withdrawn Students | Records documenting the withdrawal of students including emails and letters | Paper = End of academic year + 6 years Electronic = Exit (either graduation, withdrawal or terminations of studies) + 6 years |
| | Assessment Administration | Samples of coursework | Current academic year + 1 year |
| | | Records documenting the collation of examination results and compilation of pass lists and individual notifications of results. Records documenting individual students' | Current academic year + 1 year |

| | | | |
|----------------|---|---|-------------------------------------|
| | | submission of assessed work and handling of reports of mitigating circumstances. Records documenting the issue of awards lists and individual notifications of awards. | |
| | External Examiner Administration | Records documenting the selection and appointment of external examiners including administrative matters. | Termination of appointment + 1 year |
| | | Records documenting liaison with external examiners annual reports. | Current academic year + 3 years |
| | External Assessors Administration | Records documenting the selection and appointment of external assessors including administrative matters. | Current academic year + 1 year |
| | Agendas, minutes and papers for Faculty and Dept/ School committees | | End of academic year + 6 years |
| FINANCE | Financial Accounting | Records documenting the issue of sales invoices and the processing of incoming payments. Records documenting the receipt and payment of purchase invoices. Records documenting hourly paid claim forms / Ltd Company / Sole Trader Engagement | Current financial year + 6 years |
| | Funding Management | Records documenting the administration of grant funding | Termination of grant + 6 years |

| | | | |
|-----------------------------------|-------------------------------------|--|---|
| | Financial Planning & Budgeting | Records documenting the preparation of annual operating budgets, forecasts, re-forecasts | Current financial year + 1 year |
| | Statutory Returns | Records documenting staff, student numbers and financial spending. | Current financial year + 6 years |
| | Fee Collection | Records documenting the collection and receipt for trips/fieldtrips etc | Current financial year + 6 year |
| GOVERNANCE | Contract Management | Contracts, Legal Agreements, Consultancy Agreements Records documenting variations to contracts (e.g. revisions, extensions). Records documenting the monitoring of supplier performance and action taken regarding under-performance. | Termination of contract + 6 years |
| | Strategic Partnerships | Records documenting the formal arrangements for strategic partnerships | Superseded + 3 years 7 years for OFSTED |
| | Quality Assurance of Partnerships | Records documenting quality assurance of formal partnerships i.e. QA Guidelines, Exit Strategy arrangements, committee reports | Termination of contract + 6 years termination + 7 years for OFSTED |
| | Strategies, Policies and Procedures | | End of academic year + 6 years |
| | External Accreditation | Identification of accreditation requirements and records related to obtaining and maintaining accreditation | Valid + 6 years |
| HEALTH & SAFETY (Labs) | | COSSH assessments and recommended actions | Superseded or end of activity |
| | | General health and safety information, induction and training materials for staff, student and visitors | Superseded + 5 years |

| | | | |
|------------------|-------------------------------------|---|----------------------------------|
| | | | |
| | | | |
| LIBRARY | Copyright Compliance Administration | Records documenting the compilation of statistical and other data required by the Copyright Licensing Agency, and the submission of this data to the Agency. | Current year + 1 year |
| | Purchase Management | Records documenting purchase and management of electronic services and resources. | Current financial year + 6 years |
| | | Records of individuals who want to take photographs, for personal use, publications and loans. | Current year + 6 years |
| MARKETING | Market Research | Records documenting the design and development of market research tools. Market research data: aggregated data and analyses including website usability studies. | Completion of research + 5 years |
| | | Market research data: data relating to identifiable individuals. | Completion of analysis of data |
| | Marketing Campaign Management | Records documenting the design, implementation and review of marketing campaigns. | Completion of campaign + 3 years |
| | Advertising Management | Records documenting the development, placement and impact of advertisements. | Current + 5 years |
| | General | Records documenting the generation of leads for prospective students, the | Completion of event + 1 year |

| | | | |
|---------------------------|---------------------|---|---|
| | | organisation of events to market programmes | |
| | | Records documenting specific case studies to include within marketing material used to promote Faculty activity and student profiles. | Date of publication + 1 year |
| POSTGRAD. RESEARCH | | CRE, MPhil upgrade and viva reports. Submission of thesis paperwork and abstracts for graduation programme | Paper = completion of programme + 6 years Electronic = Exit (either graduation, withdrawal or terminations of studies) + 6 years |
| | | Records documenting the appointment of supervisors for research students. | Termination of appointment + 1 year |
| RECRUITMENT | Student Recruitment | Records documenting the design, conduct, organisation and summary results of recruitment campaigns. | Completion of campaign + 1 year |
| | | Records documenting the handling of enquiries from prospective students. | Current academic year + 1 year |
| | | Records documenting marketing activities for students. | Current academic year + 1 year |
| | | Records containing summaries and analyses of enquiry, recruitment and retention data. | Current academic year + 5 years |
| RESEARCH | Projects | Records documenting the management of internally funded research projects | Completion of project + 3 years |
| | | Records documenting the management of externally funded research projects | Completion of project + 6 years |

| | | | |
|----------------------|--|---|--|
| | | | |
| | | Clinical Trials Contracts | Completion of research activity + 6 years (longer if specified by contract governing the research) |
| STAFF | Health and Safety information | New starter induction forms, office risk assessments | End of academic year + 6 years |
| | Human Resources management documents | Performance and Probation Reviews, Job Descriptions and Person Specifications, staff training records, annual leave records | Exit of staff member + 5 years |
| | Email correspondence | Student data received in staff email accounts and/or departmental generic Email accounts. | End of academic year + 6 years |
| STUDENT ADMIN | Course Design: Approved and Not Approved courses | Validation documents, module proformas, MMAPs, definitive documents, module specifications, external comments on proposals | Last student finishes course + 6 years |
| | Student Record | Course change forms, mode of study change requests, module enrolment requests, withdrawal and interruption forms and letters relating to this process | Paper = End of academic year + 6 years Electronic = Exit (either graduation, withdrawal or terminations of studies) + 6 years |
| | Correspondence and information required by external agencies or sponsors | For example, documents required for compliance with the University's Tier 4 sponsor duties | Exit (either graduation, withdrawal or terminations of studies) + 6 years |
| | | | |
| | Assessments | Board Transcripts, sent to board and paper copies annotated at boards | End of academic year + 6 years |

| | | | |
|--------------------------------|----------------------|--|--|
| | Progression Outcomes | Students interim and final progression outcomes | Retain permanently |
| | Academic Advice | Moodle based and other records of academic advice given, and decisions made by FSAA's | End of academic year + 6 years |
| | Academic Misconduct | Moodle based and other records of academic misconduct and termination outcome letters | End of academic year + 6 years |
| | Mitigating Evidence | Medical records notes etc | Paper = End of academic year + 6 years Electronic = Exit (either graduation, withdrawal or terminations of studies) + 6 years |
| | Appeals Information | Appeals documentation: appeal forms, scanned emails, personal statements, guidance notes and evidence for academic appeals committees, notes from panel meetings, letters detailing outcomes to students, examination incident forms | Paper = End of academic year + 6 years Electronic = Exit (either graduation, withdrawal or terminations of studies) + 6 years |
| SURVEYS AND EVALUATIONS | | Records documenting response to surveys/Evaluations | Completion of survey/Evaluation + 6 years |