

RECORDS AND DOCUMENT RETENTION SCHEDULE

Purpose and Scope

The Records and Document Retention Schedule describes the time periods for which records should be retained by the University in order to comply with operational and legal requirements, including data protection legislation.

The Retention Schedule relates to both paper and electronic records (hard and soft copies).

Please note that the default action to be taken at the end of the retention period is the secure destruction or deletion of the record. For hard copy records classed as Personal/Confidential or Highly Sensitive please use the University's Confidential Waste Collection Service. Details are available from Facilities.

Only one copy of each record needs to be kept for the full length of the retention period. Duplicate and secondary copies should be destroyed as soon as they are no longer of immediate operational use.

Emails that constitute a record which needs to be retained, including those containing personal data, must be stored in an appropriate filing system relevant to their confidentiality or criticality on the individual's N drive, O drive or Onedrive. Please see the [Information Classification and Handling webpage](#) for more information.

Definitions

Archival value	Some records may have archival/historic value and should be retained. The University has a long term storage facility which can be used for archive records. Please contact infoassurance@worc.ac.uk
Review	For some records deletion/destruction at the end of a specific period needs to be carefully considered especially if there may be archival/historic value to the record. Once a review has been undertaken if there is no merit in retaining the record it should be deleted or if it is retained a future review date should be noted.
While current	These records will relate to personal data which is dependent on an individual's consent being obtained. The accuracy of the records should be checked on at least an annual basis and consent re-obtained for processing.
Year Created +	In the example Year created + 5 – if the record was created in 2015/16 then it is due for deletion/destruction in 2020/21.

The Retention Schedule is informed by legal requirements and the recommendations of the Records Retention Schedule for HE compiled by [JISC](#)

Index

		Pages
A	External Relations Including Alumni, Fundraising, Publicity,	3 – 4
B	Facilities/Estates Management Including Building and Facilities Management, Security	4 – 6
C	Finance Including Insurance, Payroll, Procurement, Subsidiary Companies	6 – 9
D	Governance and corporate administration Including Governance, Information Assurance, Legal, Policy & Strategy, Statutory Returns	9 – 11
E	Health & Safety	11 - 12
F	Human Resources Including Staff Recruitment and Staff Administration	12 - 16
G	Information and Technology	16
H	Library	16
I	Nursery	17
J	Quality Management Including External Examiners, Partner Institutions, Programme and Course Management and Monitoring	17-18
K	Research	18
L	Students Including Accommodation, Research Students, Administration, Assessment, Student Services, Exchange and Placements	19 – 22
M	Clinics Law Clinic, Sports Therapy Clinic, McClelland Centre, Nutritional Therapy Clinic	22 - 23

Owner	Head of Information Assurance (infoassurance@worc.ac.uk)
Approved by	Vice Chancellor's Advisory Group
Approval Date	February 2018
Version	1.3
Amended	April 2018 – amendments to Nursery Records and Student Academic Misconduct and Mitigating Circumstances Records October 2018 – addition of Section M & amendment to L33 (inc to 6 years) February 2019 – inclusion of Module Evaluation at J11
Review Date	February 2021

	Activity	Information/Record Type	Retention Period (refers to years if not stated otherwise)	Legislation
A	External Relations (including Alumni, Fundraising, PR, Publicity, Partners, Photography)			
A1	Alumni Administration	Personal core data	While current	Data Protection Act 2018/UK GDPR
A2	Alumni Administration	Alumni Association minutes and correspondence	Year created + 1	
A3	Enquiry handling	Potential student enquiries including Open Day registrations	Personal data year created + 1 Statistics year created + 5	Data Protection Act 2018/UK GDPR
A4	Events organisation	Administration – planning, invitations	Year created +1	
A5	Events organisation	Attendees list	Year created +1	Data Protection Act 2018/UK GDPR
A6	Events organisation	Brochures or leaflets/advertising	Year created + 5	
A7	External organisations (Partner organisations – see Quality)	Correspondence, meetings	Year created + 5	
A8	Fundraising	Contact details	While current	Data Protection Act 2018/UK GDPR
A9	Fundraising	Donations and Sponsorship details	Review after end of relationship + 6 years	Data Protection Act 2018/UK GDPR; Limitation Act 1980
A10	Marketing & Liaison	Contacts, clients, potential clients	While current	Data Protection Act 2018/UK GDPR
A11	Press relations	Press and media enquiries	While current	
A12	Press relations	Press cuttings, clippings and digests	Year created + 5 (review for archival value)	
A13	Press relations	Press releases	Year created + 5 (review for archival value)	
A14	Photography	Photography release forms	Retain with photograph for as long as photograph used	Data Protection Act 2018/UK GDPR

	Activity	Information/Record Type	Retention Period (refers to years if not stated otherwise)	Legislation
A15	Photography	Photographs used for marketing purposes	Permanent (dependent on consent) (archival value)	Data Protection Act 2018/UK GDPR
A16	Publicity	Broadcast news – videos, tapes, CDs etc	Year created + 5 (review for archival value)	
A17	Publicity	Generic University Advertisements	End of use + 1	
A18	Publicity	Generic University produced literature	End of use + 5 (review for archival value)	
A19	Publicity	Department specific publications, promotions, leaflets, adverts, videos etc	End of use + 5 (review for archival value)	
A20	Publicity	Presentations, speeches	Year created + 1 (review for archival value)	
B Facilities/Estates Management (incl Building & Facilities Maintenance, Security)				
B1	Buildings management	Building insurance surveys	Current insurance policy + 6	Limitation Act 1980
B2	Buildings management	Building records such as: <ul style="list-style-type: none"> • Planning and building regulations • Floor plan, master copies, • Drawings, copies of floor plans • Enhancement records • Asbestos location plans and register • High voltage maintenance records • Legionella location plans, reports and risk assessments 	Destroy after disposal of property OR hand over of property as appropriate NB: Asbestos and CoSHH records need to be retained for 40 years	CoSHH regs 2012; Control of Asbestos regs 2012
B3	Buildings Management	Facilities Management Works Folders such as: <ul style="list-style-type: none"> • Planning permissions • Building regulation approval 	Relating to major works (under seal): completion of works + 15 years Relating to minor works (under hand): destroy after	Limitation Act 1980

	Activity	Information/Record Type	Retention Period (refers to years if not stated otherwise)	Legislation
		<ul style="list-style-type: none"> • Pension opt in/out form • Equal Opportunities form • Promotion • Internal career history • Correspondence • Pay History 		
F6	Staff Administration	DBS checks	Created + 6 months	Data Protection Act 2018/UK GDPR
F7	Staff Administration	Drivers' Licences	While current	Data Protection Act 2018/UK GDPR
F8	Staff Administration	Emergency contact details	While current (Staff are asked to update details via the Staff Login page)	Data Protection Act 2018/UK GDPR
F9	Staff Administration	Financial details – bank account	While current	Data Protection Act 2018/UK GDPR
F10	Staff Administration	Foreign travel data	Created + 6	Data Protection Act 2018/UK GDPR; Limitation Act 1980
F11	Staff Administration	Sick leave records	Created + 6	Data Protection Act 2018/UK GDPR; Limitation Act 1980
F12	Staff Administration	Medical Certificates	Created + 6 NB: Records relating to hazardous materials – individual's statutory retirement date plus 20 years	Data Protection Act 2018/UK GDPR; Limitation Act 1980

	Activity	Information/Record Type	Retention Period (refers to years if not stated otherwise)	Legislation
F13	Staff Administration	Medical Questionnaires	Created + 6 NB: Records relating to hazardous materials – individual’s statutory retirement date plus 20 years	Data Protection Act 2018/UK GDPR; Limitation Act 1980
F14	Staff Administration	Holiday leave records	Created + 1	Data Protection Act 2018/UK GDPR; Limitation Act 1980
F15	Staff Administration	Overtime and timesheets	Created + 1	Data Protection Act 2018/UK GDPR; Limitation Act 1980
F16	Staff Administration	References provided for staff	Created + 1	Data Protection Act 2018/UK GDPR; Limitation Act 1980
F17	Staff Administration	Departmental staff records Core staff record held by Human Resources	Created + 1	Data Protection Act 1980/GDPR;
F18	Staff Administration	Appraisal records	Created + 6	Data Protection Act 2018/UK GDPR;
F19	Staff Administration	Staff timetables	Year created + 1	Data Protection Act 2018/UK GDPR
F20	Staff Administration	Payroll – salaries, payments	Year created + 6	Data Protection Act 2018/UK GDPR; Limitation Act 1980; Taxes Management Act 1970
F21	Staff Administration	Training attended, staff development	Year created + 6 Training records relating to hazardous materials – individual’s statutory	Data Protection Act 2018/UK GDPR;

	Activity	Information/Record Type	Retention Period (refers to years if not stated otherwise)	Legislation
			retirement date plus 20 years	
F22	Staff Administration	Staff Disciplinary	Year created + 6	Data Protection Act 2018/UK GDPR; Limitation Act 1980
F23	Staff Administration	Employment tribunals	Year created + 6 Once judgement made, retain judgement and evidence that it has been complied with, rest of record can be destroyed	Data Protection Act 2018/UK GDPR; Limitation Act 1980
F24	Staff Administration	Exit interviews, notes, questionnaire details	Year created + 6	Data Protection Act 2018/UK GDPR; Limitation Act 1980
F25	Staff Administration	Grievances	Year created + 6	Data Protection Act 2018/UK GDPR; Limitation Act 1980
F26	Staff Administration	Peer Observations	Superseded + 3	Data Protection Act 2018/UK GDPR
G	Information and Technology			
G1	ICT systems Management	List of current and disposed IT equipment	Current + 6	Limitation Act 1980
G2	ICT Systems Management	Systems backup data	Created + 1 month	
G3	ICT Systems Management	User account data backup	Created + 1 month (up to)	
G4	Print Services	Printing and photocopying data	Year created + 1	
G5	Print Services	Requisition forms, log of jobs	Year created + 1	
G6	IT network management	Guest/visitor data for access to guest/visitor internet account	30 days from the creation of the account	

	Activity	Information/Record Type	Retention Period (refers to years if not stated otherwise)	Legislation
H	Library			
H1	Library services	Inter-library loan forms	Created + 6	
I	Nursery			
I1	Nursery Management	Minor administrative records	Year created + 1 year maximum	
I2	Nursery Management	General daily records	Year created + 3 years	
I3	Nursery Management	Funding Forms	Year created + 7 years	
I4	Nursery Management	Specific Children's notes and historical data (SEND/Child Protection)	Current child + 20 Or until the child is 21 or 24 depending on the record.	Data Protection Act 2018/UK GDPR; SEND 2014;
J	Quality Management (including External Examiners, Partner Institutions, Programme and Course Management and Monitoring)			
J1	External Examiners	External Examiners data	Year created + 10	
J2	External Examiners	External Examiner reports	Year created + 6 PG research students – permanent on student record	
J3	Partner Institutions	Correspondence, meetings	Year created + 5	
J4	Partner Institutions	Visit reports, reviews (see Governance for contracts)	Year created + 5	
J5	Programme & course management	Authorised programmes list	Permanent	
J6	Programme and course management	Definitive documents, programme and course specifications	End of course + 10	
J7	Programme and course management	Exam paper	Year created + 3	

	Activity	Information/Record Type	Retention Period (refers to years if not stated otherwise)	Legislation
J8	Programme and course management	Programme and course changes tracking	Year created + 5	
J9	Programme and course management	Teaching materials: handouts, presentations, lecture notes, reading lists, schedules	Current course + 1	
J10	Programme and course management	Timetables	Year created + 1	
J11	Programme and course monitoring	Module Evaluations	Year created + 3	
J12	Programme & course monitoring	Statutory and professional body audits (incl Ofsted, QAA, HEFCE, PRSB, GMC)	Year created + 10	
J13	Quality monitoring	Professional body accreditations	Current programme	
J14	Quality monitoring	Student Surveys	Year created + 5 Anonymised statistical data – Year created + 10	
J15	Quality monitoring	Teaching Excellence Framework (TEF) Final submission report	Current + 5 (reports permanent)	
J16	Short course administration	Programmes, attendees	Year created + 5	Data Protection Act 2018/UK GDPR
K	Research			
K1	Contract management	Research contracts	Dependent on contract or Current + 6	Limitation Act 1980
K2	Project management	Final reports	Current + 5 (review for archival value)	
K3	Project Management	Internal research and enterprise projects	Current + 5	

	Activity	Information/Record Type	Retention Period (refers to years if not stated otherwise)	Legislation
K4	Project Management	Outcomes: final reports, publications, presentations, conference papers, articles	Current + 5 (review for archival value)	
K5	Project Management	Projects working documents, correspondence, drafts, interim reports, copy invoices, expenditure data	Dependent on project requirements	
K6	Project Management	Successful project bids, proposals, application forms, contracts	Current + 6	Limitation Act 1980
K7	Project Management	Unsuccessful project bids, proposals	Year created + 5	Limitation Act 1980
K8	Research Monitoring	Research Assessment Exercise – REF	Current + 5 (reports permanent)	
L Students (including Accommodation, Research Students, Administration, Assessment, Student Services, Exchange and Placements)				
L1	Accommodation	Accommodation application forms and records	Year created + 6	Data Protection Act 2018/UK GDPR
L2	Research students	Higher student theses	Permanent	Data Protection Act 2018/UK GDPR
L3	Research Students	Research Degree forms, Phd proposal forms, supervision summary sheets, copies of chapters, notes	Current student + 6	Data Protection Act 2018/UK GDPR; Limitation Act 1980
L4	Student administration	Applications - Unsuccessful	Created + 1 (Currently under review)	Data Protection Act 2018/UK GDPR; Limitation Act 1980
L5	Student Administration	Applications – Successful Offer letters, visa requests, status letters, demographic forms, course choice forms, APEL approvals, references	Current + 6	Data Protection Act 2018/UK GDPR; Limitation Act 1980
L6	Student Administration	Applications for duplicate certificates	Created + 1	

	Activity	Information/Record Type	Retention Period (refers to years if not stated otherwise)	Legislation
L7	Student Administration	Attendance registers	Year created + 1	Data Protection Act 2018/UK GDPR
L8	Student Administration	Awards – ceremony booklets, lists of attendees	Permanent (archival value)	Data Protection Act 2018/UK GDPR
L9	Student Administration	Awards – prize winners data	Created + 6 (review for archival value)	
L10	Student Administration	Complaints – formal	Current + 6	Data Protection Act 2018/UK GDPR Limitation Act 1980
L11	Student Administration	Contact details, emergency contact details	While current	Data Protection Act 2018/UK GDPR
L12	Student administration	Core student file: <ul style="list-style-type: none"> • Name • Date of Birth • Student Number • Results/Certification data • Marks 	Permanent	Data Protection Act 2018/UK GDPR; Limitation Act 1980
L13	Student Administration	Court cases between students and University	Current + 6	Limitation Act 1980
L14	Student Administration	DBS Checks	Created + 6 months	Data Protection Act 2018/UK GDPR
L15	Student Administration	Destination of leavers, statistics	Year created + 10	Data Protection Act 2018/UK GDPR
L16	Student Administration	Disciplinarys	Current + 6	Data Protection Act 2018/UK GDPR; Limitation Act 1980
L17	Student Administration	Entry requirements and criteria for students	Current + 2	
L18	Student Administration	Financial – registration forms, fee instalment agreements, fees	Year created + 6	Data Protection Act 2018/UK GDPR

	Activity	Information/Record Type	Retention Period (refers to years if not stated otherwise)	Legislation
		assessment forms, financial information forms, financial assessment notifications, hardship allocations		Taxes Management Act 1970
L19	Student Administration	Student handbooks, guidance information, induction	Current + 1	
L20	Student Administration	Reference requests and references provided	Year created + 1	Data Protection Act 2018/UK GDPR
L21	Student Administration	Transcripts	Created + 1	Data Protection Act 2018/UK GDPR
L22	Student Administration	Statistics, trends	Year created + 10	
L23	Student Administration	Student application data	Year created + 10	
L24	Student Administration	Student withdrawal data	Year created + 10	
L25	Student Assessment Administration	Academic appeals – final decision letter for Stage 1 & 2	Year created + 6	Data Protection Act 2018/UK GDPR; Limitation Act 1980
L26	Student Assessment Administration	Assessment offences data e.g. plagiarism including relevant committee papers	Year created + 6 (if not anonymised) Current + 10 (statistics)	Data Protection Act 2018/UK GDPR; Limitation Act 1980
L27	Student Assessment Administration	Course and project work – copies and unclaimed	Year created + 6 months	Data Protection Act 2018/UK GDPR; Limitation Act 1980
L28	Student Assessment Administration	Exam scripts	Year created + 1	Data Protection Act 2018/UK GDPR
L29	Student Assessment Administration	Mitigating Circumstances data including relevant committee papers	Year created + 6	Data Protection Act 2018/UK GDPR; Limitation Act 1980
L30	Student Assessment Administration	External Examiners Reports	Year created + 10	
L31	Student Assessment Administration	Examination Board papers	Year created + 6	
L32	Student Assessment Administration	Progression – mark collection sheets and data	Year created + 3	Data Protection Act 2018/UK GDPR

	Activity	Information/Record Type	Retention Period (refers to years if not stated otherwise)	Legislation
L33	Student Assessment Administration	Special exam requests	Year created + 6	Data Protection Act 2018/UK GDPR
L34	Student Exchange Administration	Exchange programme details, programmes, contacts	Current + 5	
L35	Student Placement Administration	Tutor & student review, reports, evaluation, summaries, handbooks	Current student + 6	Data Protection Act 2018/UK GDPR
L36	Student Services	Careers Advice – notes, meetings, details	Current + 6	Data Protection Act 2018/UK GDPR
L37	Student Services	Counselling – notes, meetings, details	Current + 6	Data Protection Act 2018/UK GDPR
L38	Student Services	DSA support – notes, meetings, details	Current + 6	Data Protection Act 2018/UK GDPR
L39	Student Services	Financial advice – notes, meetings, applications to Access to Learning Fund, Short Term Loans	Current + 6	Data Protection Act 2018/UK GDPR
L40	Student Services	Student Support and Well-being – notes, meetings, details	Current + 6	Data Protection Act 2018/UK GDPR
M	Clinics			
M1	Patient records for Sports Therapy Clinics	Patient’s core personal data (name, contact details), medical and health data, record of treatment	Adults: Current + 6 Children: Retention of records for 10 years after the patient is seen or until the patient is 21 (if later)	Data Protection Act 2018; Limitation Act 1980
M2	Patient records for Nutritional Therapy Clinics	Patient’s core personal data (name, contact details), medical and health data, record of treatment	Adults: Last visit + 8 years Children: until 25 th birthday but if client was 17 at conclusion of therapy until 26 th birthday	Data Protection Act 2018; Limitation Act 1980

	Activity	Information/Record Type	Retention Period (refers to years if not stated otherwise)	Legislation
M3	Patient records for other clinics held within the McClelland Centre	Patient's core personal data (name, contact details), medical and health data, record of treatment	Adults: Current + 6 Children: Retention of records for 10 years after the patient is seen or until the patient is 21 (if later)	Data Protection Act 2018; Limitation Act 1980
M4	Law Clinic	Files including legal advice to clients	Date of last action on file + 6 years	Data Protection Act 2018; Limitation Act 1980