



# 10 STRATEGY AND GOVERNANCE RECORDS

## University Retention Schedule

### Contents

10.1.	Board of Governors.....	2
10.1.1.	Legal Framework and Terms of Reference .....	2
10.1.2.	Governors: Personal Records.....	3
10.1.3.	Governors: Administrative Records .....	4
10.1.4.	The Chancellor .....	5
10.2.	Strategies, Strategic Plans and Management Plans.....	5
10.3.	Policies and Procedures .....	6
10.3.1.	Policies – Final Versions .....	6
10.3.2.	Procedures – Final Versions .....	6
10.3.3.	Working Papers and Drafts .....	7
10.3.4.	Equality Impact Analysis .....	7
10.3.5.	Implementation .....	7
10.4.	Annual Reports.....	8
10.5.	Student Charter.....	8
10.6.	Statistics .....	9
10.6.1.	Statutory Returns.....	9
10.6.2.	Other Statistics.....	9
10.7.	Contracts and Licences .....	10
10.7.1.	Non-academic Contracts and Licences .....	10
10.7.2.	Collaborative Programme Contracts.....	11
10.7.3.	Research Contracts .....	11
10.7.4.	Student Placements and Training Agreements.....	12
10.7.5.	Validation and Accreditation Contracts .....	12
10.7.6.	International Contracts & Sponsorship Licences .....	13
10.8.	Information Governance.....	14
10.8.1.	Data Protection .....	14
10.8.2.	Freedom of Information and Environmental Information.....	15
10.8.3.	Appeals to the Information Commissioner’s Office.....	16
10.8.4.	Public Interest Disclosure (Whistleblowing) .....	16
10.8.5.	Records Management .....	17
10.8.6.	Information Security and Monitoring .....	18
10.8.7.	User Accounts, Access Permissions and Identity Management .....	19
10.9.	Records of Subsidiary Companies .....	19

## 10.1. Board of Governors

### 10.1.1. Legal Framework and Terms of Reference

The constitution, membership and terms of reference for the Board of Governors are held within the agenda of the October Board of Governors’ meeting. The statement of primary responsibilities and standing orders of the Board of Governors’ and its committees are held within board papers. For retention of these, see [Retention Schedule – 03 Committee Records > Board of Governors](#).

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	DIRECTORATE RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Articles of government	P/E	N/A	Permanent	Archive	JISC recommendation		eRecords system	FileStore	Published on website	
Instrument of government	P/E	N/A	Permanent	Archive	JISC recommendation		eRecords system	FileStore	Published on website	
OfS Registration Documents	E	N/A	Permanent	Archive			eRecords system	N/A	Published on website	

### 10.1.2. Governors: Personal Records

For expense claims, see [Retention Schedule – 05 Financial Records > Accounting for Expenditure](#).

Governors no longer have separate indemnity forms, there is one insurance policy covering all governors, see [Retention Schedule – 05 Financial Records > Insurance Management](#).

For declarations of interest, see [Retention Schedule – 08 Risk Management > Declarations of Interest](#).

Appointments of governors are recorded in the minutes of the Nominations Committee, see [Retention Schedule – 03 Committee Records > Board of Governors](#).

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	DIRECTORATE RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Personal details and photographs	P/E	Termination of appointment	1 year	Destroy			K:drive	N/A	Photo and biography published on website, if permitted	
Names of former governors, dates of membership and photographs of chair	P/E	N/A	Permanent	Archive	Historic value		Names & dates are held in Board of Governors minutes and annual accounts	N/A		
Application forms (elected governors)	P/E	Termination of appointment	6 years	Destroy	Limitation Act 1980					

**10.1.3. Governors: Administrative Records**

For the administration of training and induction programmes, see [Retention Schedule – 12 Training and Events](#).

Election results are held within board papers, see [Retention Schedule – 03 Committee Records > Board of Governors](#).

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	DIRECTORATE RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Roles and responsibilities of governors	P/E	When superseded	10 years	Destroy			K:drive	N/A	Not published	
Notices of elections and electoral lists	P/E	Completion of next election	N/A	Destroy		Staff governors only	K:drive	N/A		
Correspondence concerning elections	P/E	Completion of next election	N/A	Destroy			Drafts on K:drive	N/A	Staff newsletter	
Nomination forms (staff governors)	P/E	Completion of next election	N/A	Destroy			K:drive	N/A		
Electoral statements	P/E	Completion of next election	N/A	Destroy		Forms part of ballot paper	K:drive	N/A	Staff newsletter	
Polling instructions	P/E	Completion of next election	N/A	Destroy			K:drive	N/A	Google (All Staff Email)	
Completed ballot papers / postal votes	P/E	Completion of next election	N/A	Destroy			K:drive	N/A	Not published	
Preliminary information for new governors	P/E	N/A	Permanent	Archive	Historic value	Induction pack	K:drive	N/A		
Reviews of governor effectiveness	P/E	Completion of 2 subsequent reviews	N/A	Destroy			K:drive	N/A	Not published	

**10.1.4. The Chancellor**

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	DIRECTORATE RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Records relating to the appointment of the Chancellor		Termination of appointment	6 years	Dispose						
Certificate of inauguration of the Chancellor		Termination of appointment	N/A	Archive	Historical value	Framed on wall in Directorate and logged as artefact on Asset-i	On display in University House	University Archive	Not published	
Official photographic portrait of the Chancellor		Termination of appointment	N/A	Archive	Historical value	Framed on wall in Directorate and logged as artefact on Asset-i	On display in University House	University Archive	Not published	

**10.2. Strategies, Strategic Plans and Management Plans**

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	PLANNING RETENTION PERIOD	STRATEGY OWNER RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
University's Strategic Plan	P	N/A	Permanent		Archive	Historic value					
Strategies - Final versions	E	When superseded		10 years	Delete or Archive	Potential historic value	Consider transferring major strategies to University Archive to provide historic record of University development (e.g. HR, Estates)				
Working papers	P/E	Next version of strategy or plan complete	N/A	N/A	Destroy	To provide reference material for drafting next version					
Quarterly monitoring statements	E	Strategic plan superseded	10 years		Delete	Audit purposes; Sent to Board of Governors and will be permanently archived as part of the Governors' record series. Therefore, no need to keep this copy in perpetuity.					

### 10.3. Policies and Procedures

Please Note – Individual policies/procedures are not explicitly mentioned, unless the retention period deviates from the general retention shown. The over-arching University data privacy statements are considered to be policy.

NB: Policies and procedures relating to childcare are covered under [Retention Schedule – 09 Service and Student Support Records > Nursery](#).

#### 10.3.1. Policies – Final Versions

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	POLICY OWNER'S DEPT RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
University Policies	E	When superseded	10 years	Delete		Policies which apply across the University, for example, policies in corporate format, held in the document warehouse	eRecords System	Directorate K:drive (2008 on) & Print Services have a hard copy of the most recent version of each document sent for corporate formatting up to 2018 †	Published on Document Warehouse (intranet only). Most also published on website.	
Local Policies	E	When superseded	6 years	Delete	Limitation Act 1980	Policies which apply only to one business area, for example, UPDA policies required by NHS				

† From 2019 onwards, departments are responsible for putting their own policies into corporately branded, disability accessible format.

#### 10.3.2. Procedures – Final Versions

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	PROCEDURE OWNER'S DEPT RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
General procedures	E	When superseded	6 years	Delete	Limitation Act 1980		eRecords System	Directorate K:drive (2008 on) & Print Services have a hard copy of the most recent version of each document sent for corporate formatting up to 2018 †	Published on Document Warehouse (although some are intranet only)	
Health & Safety procedures	E	When superseded	50 years	Delete	In case of criminal prosecution or personal injury claim resulting from exposure to asbestos, hazardous substances, lead, noise or ionising radiation					
HR Procedures	E	When superseded	10 years	Delete	JISC recommendation of HR policies and procedures					

† From 2019 onwards, departments are responsible for putting their own procedures into corporately branded, disability accessible format.

**10.3.3. Working Papers and Drafts**

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	POLICY/PROCEDURE OWNER'S DEPT RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Working papers & drafts	P/E	Next version of policy / procedure complete	N/A	Destroy	To provide reference material for drafting next version					

**10.3.4. Equality Impact Analysis**

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	POLICY/PROCEDURE OWNER'S DEPT RETENTION PERIOD	EQUALITY & DIVERSITY RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Assessment documentation	P/E	Associated policy disposed	N/A		Destroy	To provide evidence of compliance with equality legislation; Reference material for carrying out next assessment		eRecords (within policy file)	Local drives	Not published	
EIA Guidance	E	When superseded		N/A	Destroy			E&D K:drive	Local drives	Internal/external via E&D webpages and HR document warehouse	

**10.3.5. Implementation**

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	POLICY/PROCEDURE OWNER'S DEPT RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS	
Guidance, training and awareness materials	P/E	When superseded	1 year	Destroy	in case of queries concerning previous version	Examples: leaflets, handouts, presentations, factsheets					
Forms and templates	P/E	When superseded	1 year	Destroy	in case of queries concerning previous version						

## 10.4. Annual Reports

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	DEPT RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Final versions	P/E	End of academic year	10 years	Destroy		NB: Consider archiving				
Working papers & drafts	P/E	Next annual report complete	N/A	Destroy						

## 10.5. Student Charter

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	MARKETING & COMMS RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Student Charter	P/E	When superseded	6 years	Destroy	Limitation Act 1980					



## 10.6. Statistics

### 10.6.1. Statutory Returns

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	DSAA RETENTION PERIOD	RETURNING DEPT RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Statutory returns and data supply relating to students – output reports	E	N/A	Permanent		Archive	Historic Value	A full list of student returns is held on the external returns data register. There are statutory returns (e.g. HESA, ESFA) and data supply (internal and external - e.g. league tables)	Registry K:drive	N/A	Returns are published by the receiving body. However all published University reports giving stats on students (incl any FoI responses) should be drawn from these data sets.	
Statutory returns and data supply relating to staff, finance, graduate outcomes* etc – output reports	E	N/A		Permanent	Archive	Historic Value	Returning depts. include HR, Finance and Employability  * Pre-2019 was the DHLE survey (incl HESA returns, ONS returns, NHS returns and Local Government returns)				
Other statutory returns – output reports	E	N/A		Permanent	Archive	Historic Value					
Staff & student equality, diversity & inclusion data reports	E	N/A		Permanent	Archive	The Public Sector Equality Duty, under the Equality Act 2010, Historic Value	These data reports go to UEB and the Governors, so will be archived in perpetuity as part of the papers and minutes of these meetings	K:drive or Google drive	N/A	Published on the website	
Documentation supporting external returns (incl. raw data)	E	End of academic year	6 years	6 years	Delete	Financial auditing	It is not possible to retain a snapshot of the corporate systems at the time the raw data was extracted	Registry K:drive (XML files)	N/A	Not published	

### 10.6.2. Other Statistics

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	DEPT RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Departmental statistics and management information	P/E	End of academic year	10 years	Destroy			Management Information System (PMR Dashboard)	N/A	Not published	

## 10.7. Contracts and Licences

### 10.7.1. Non-academic Contracts and Licences

(Includes collateral warranties, which should be managed as contracts)

NB: For tender and procurement, see **Retention Schedule – 05 Financial Records > Procurement**. From 01/01/18, Procurement contracts will be held on the Intend system.

Contracts signed under seal are primarily dictated by financial regulations and require two governors’ signatures. A ledger of contracts signed under seal is kept in safe in the office of the Executive Director of Corporate Governance. The original is returned to owning dept. Contracts signed under seal can be identified because there will be a design pressed into the paper of the contract, usually over the signature or over a red circle stuck onto the contract. Contracts executed as a deed will explicitly state “executed as a deed” (normally in the signature box), and there will also usually be two signatures.

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	OWNING DEPT RETENTION PERIOD	DIRECTORATE RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Register of contracts	P/E	N/A		Permanent		Long-term reference		eRecords System	Directorate K:drive	Not published	
Contracts and agreements: executed as deeds/signed under seal	P/E	Expiry/performance of contract	12 years		Destroy	Limitation Act 1980; JISC recommendation	Includes supporting documentation relating to negotiation, establishment and review of contracts and agreements	Intend system (from 01/01/18) Originals retained in paper	eRecords System Originals retained in paper	Not published	
Contracts and agreements: not under seal	E	Expiry/performance of contract	6 years		Destroy	Limitation Act 1980; JISC recommendation	Includes supporting documentation relating to negotiation, establishment and review of contracts and agreements	Intend system (from 01/01/18)	eRecords System	Not published	
Contracts and agreements: building / maintenance work	E	Expiry/performance of contract	15 years		Destroy	Limitation Act 1980; Latent Damage Act 1986	Includes supporting documentation relating to negotiation, establishment and review of contracts and agreements	Intend system (from 01/01/18)	eRecords System	Not published	
Contracts and agreements that include clauses defining ownership or exploitation of intellectual property	P/E	Expiry of ownership of intellectual property	12 years		Destroy	Limitation Act 1980; Copyright, Design and Patents Act 1988	Copyright in literary, dramatic, musical or artistic work last for 70 years after the death of the author; patent protection is valid for 20 years; registration of trademarks can be renewed every 10 years	eRecords System		Not published	
Intellectual property agreements and licences (including copyright licences)	P/E	Expiry of agreement/ licence	12 years		Destroy	Limitation Act 1980; ICSA recommendation	Copyright in literary, dramatic, musical or artistic work last for 70 years after the death of the author; patent protection is valid for 20 years; registration of trademarks can be renewed every 10 years	eRecords System		Not published	

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	OWNING DEPT RETENTION PERIOD	DIRECTORATE RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Software, hardware and IT service licences	P/E	Expiry of licence	6 years		Destroy			eRecords System		Not published	
Estates licences	P/E	Expiry / termination or surrender of licence	15 years		Destroy	ICSA recommendation; Limitation Act 1980; Latent Damage Act 1986	NB: includes negotiation of licences	eRecords System		Not published	

### 10.7.2. Collaborative Programme Contracts

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	DSAA RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Contracts with collaborative partners	P/E	Exit of last student following expiry / termination of contract	6 years	Destroy	The date of the exit of the last student will be available from the Student Records System		eRecords System	N/A	Not published	
Register of collaborative partners	P/E	N/A	Permanent		To aid with the verification of awards delivered at/by a partner	Current and ex-partners	SITS System	eRecords System	Not published	

### 10.7.3. Research Contracts

NB: For research funding bids, see [Retention Schedule – 07 Project Records > Research Projects](#).

Research contracts are retained by Finance in accordance with the [10.7.1 Non-Academic Contracts and Licences](#), above.

**10.7.4. Student Placements and Training Agreements**

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	PURPLE DOOR RETENTION PERIOD	FACULTIES RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Placement and training agreements	P/E	Completion of placement or training*	6 years	6 years	Destroy	Limitation Act 1980; Policy for Placement Learning	* Where the agreement covers more than one placement, the retention period begins when the last placement or training covered by the agreements is completed.				
Insurance cover forms		End of academic year	3 years	3 years	Destroy	Limitation Act 1980					

**10.7.5. Validation and Accreditation Contracts**

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	DSAA RETENTION PERIOD	FACULTIES RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
External Examiner contractual documents		Expiry of contract	6 years			Limitation Act 1980; Data Protection Act 1998	For example: appointment letters	eRecords, in secure contracts area	N/A	Not published	
Professional, statutory and regulatory bodies – records relating to contractual matters		Expiry of contract		6 years		Limitation Act 1980	Professional accrediting bodies do not give contracts. They are usually a report or letter giving us a period of registration, accreditation, certification or recognition	Faculty filing areas	Quality Assurance Committee minutes	Not published	

10.7.6. International Contracts & Sponsorship Licences

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	UOP GLOBAL RETENTION PERIOD	HR RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Contractual documents relating to agents	E	Termination of contract	6 years		Destroy	Limitation Act 1980	All agent contracts are subject to UK law. Historically, agent relationships tend to be long-term and contracts open-ended. This is now under review and all revised contracts will have an initial 3yr period				
Licences to sponsor migrants	P/E	Expiry of Licence		6 years	Destroy	Limitation Act 1980 OISC					
Documentation submitted as part of the University's application to become a licensed sponsor for migrants	P/E	End of sponsor licence to which the records pertain		N/A	Destroy	UKVI Sponsor Policy Guidance					
Erasmus project contracts (historical)	E	End of project	7 years		Delete	Erasmus Requirement	Includes: contracts & staff paperwork (except receipts, which are retained by Finance)	K:Drive		Not published	
Turing project contracts	E	End of funding period	7 years		Delete	Turing contract Requirement	Includes: contracts, staff paperwork (except receipts, which are retained by Finance) & funding receipts/evidence for widening participation students (Turing only)	K:Drive		Not published	

## 10.8. Information Governance

### 10.8.1. Data Protection

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	DIRECTORATE RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Records relating to the University's notification of data controller details to the Information Commissioner's Office	P/E	End of academic year	1 year	Destroy	JISC Recommendation		eRecords System	N/A	Not published	
Subject access requests and responses provided: resulting in complaints/appeals	P/E	Last action on request	6 years	Destroy	Limitation Act 1980	By individuals and/or their representatives (e.g. Lawyers)	eRecords System	N/A	Not published	
Subject access requests and responses provided: standard requests	P/E	Last action on request	3 years	Destroy		By individuals and/or their representatives (e.g. Lawyers)	eRecords System	N/A	Not published	
Data requests to us - by police or other approved bodies and responses provided: information is held	P/E	End of calendar year	3 years	Destroy			eRecords System	N/A	Not published	
Data requests to us - by police or other approved bodies and responses provided: information is not held	P/E	End of calendar year	1 year	Destroy			eRecords System	N/A	Not published	
Data requests by us – to police via DP5 notice and responses provided: information provided	P/E	End of calendar year	3 years	Destroy			eRecords System	N/A	Not published	
Data requests by us – to police via DP5 notice and responses provided: information not held or not provided	P/E	End of calendar year	1 year	Destroy			eRecords System	N/A	Not published	

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	DIRECTORATE RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Correspondence with Information Commissioner’s Office regarding potential breach notifications – No action required	P/E	Last correspondence with ICO	2 years	Destroy	In line with ICO retention schedule 8.22		eRecords System	N/A	Not published	
Correspondence with Information Commissioner’s Office regarding potential breach notifications	P/E	Last action on case	6 years	Destroy	In line with ICO retention schedule 8.23	Last action may be 12/24 months after the initial breach because ICO may require updates on a case.	eRecords System	N/A	Not published	

**10.8.2. Freedom of Information and Environmental Information**

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	DIRECTORATE RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Requests and responses provided: resulting in complaints / appeals	P/E	Last action on request	6 years	Destroy	Limitation Act 1980		eRecords System	N/A	Not published	
Requests and responses provided: relating to case where precedents are set or principles established for handling requests for certain types of information	P/E	Last action on request	10 years	Destroy			eRecords System	N/A	Not published	
Requests and responses provided: standard requests	P/E	End of calendar year	3 years	Destroy	JISC recommendation; TNA recommendation		eRecords System	N/A	Not published	
Records documenting development and maintenance of the University's publication scheme	P/E	Revision of scheme completed	5 years	Destroy	JISC recommendation		eRecords System	N/A	Not published	

**10.8.3. Appeals to the Information Commissioner’s Office**

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	DIRECTORATE RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Decision notices issued by Information Commissioner's Office and decisions by Information Tribunal	P/E	Settlement of case	6 years	Destroy	In line with ICO retention schedule 8.1		eRecords System	N/A	Not published	

**10.8.4. Public Interest Disclosure (Whistleblowing)**

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	DIRECTORATE RETENTION PERIOD	DEPT RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Public interest disclosure records, relating to the investigation, determination and resolution of an allegation made by a member of staff under the Public Interest Disclosure Act 1998	P/E	Closure of case	6 years	6 years	Destroy	Limitation Act 1980; JISC recommendation	Whistleblowing cases are raised with the Executive Director of Corporate Governance to ensure anonymity for the member of staff making the allegation				



10.8.5. Records Management

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	DIRECTORATE RETENTION PERIOD	DEPT RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Records relating to record surveys and audits	E	Completion of next audit / survey	dispose		Delete	JISC recommendation		eRecords System	N/A	Not published	
Classification, indexing and metadata schema, and related documentation	E	When superseded		5 years	Delete	JISC recommendation		ReStoreWeb, K:drive, Paper	N/A	Not published	
Schedules identifying vital records for business continuity	E	When superseded		1 year	Delete	in case of queries concerning previous versions		K:drive	N/A	Not published	
Retention schedule: final versions	E	N/A	Permanent		Archive	JISC recommendation; TNA recommendation	Includes schedules identifying records of historic value	eRecords system	N/A	Available on website	
Retention schedule: background and working papers	E	Completion of next version	N/A		Delete	To provide reference material for compiling next version		eRecords system & paper	N/A	Not published	
Deviations from retention schedule	E	N/A	Permanent		Archive	To explain why records have not been disposed of in accordance with the schedule		eRecords system	N/A	Not published	
Authorisations for the disposal of records	E	N/A		Permanent	Archive	TNA recommendation; ICSA recommendation		ReStoreWeb, K:drive	N/A	Not published	

10.8.6. Information Security and Monitoring

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	IS RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Records of security arrangements for systems	P/E	System decommissioned	5 years	Destroy	JISC Recommendation					
Network & traffic monitoring	P/E	Daily	2 days	Destroy						
Mail logs	P/E	Compilation	1 month	Destroy						
Web cache logs: daily log files	P/E	Daily	N/A	Destroy						
Active scanning records	P/E	Completion of scan	1 year	Destroy						
Records of attempted or actual security breaches of systems	P/E	Date of breach	5 years*	Destroy	Underwriters require 5yrs of information for cyber liability cover.	* Or 1yr after system decommissioned, whichever is the longer. NB: Includes actions taken				
Records of the removal/return of mobile ICT systems hardware and software from University premises	P/E	Return of equipment	3 months	Destroy	JISC Recommendation					

**10.8.7. User Accounts, Access Permissions and Identity Management**

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	IS RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Records of the opening, maintenance and closure of user accounts for systems	P/E	Closure of account	1 year	Destroy	JISC Recommendation	(Note from IS – significant work required to achieve this)				
Old N:drives	E	Individual leaves	18 months	Delete	In case of return after long-term absence or on further contract	Account is archived during this period and only accessible to certain staff in IS	Secure server	N/A	Not published	

**10.9. Records of Subsidiary Companies**

A new schedule has been created to cover the specific retention requirements for subsidiary companies. This section is now covered by the new schedule. See [Retention Schedule – 13 Subsidiary Records](#).