



# 01 ASSET MANAGEMENT RECORDS

## University Retention Schedule

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## 1.1. Estates Legal Records

**NB:** For tender and procurement, see [Retention Schedule – 05 Financial Records > Procurement](#). For tests and certificates, see [Retention Schedule – 08 Risk Management > Health and Safety Records](#). For contracts and licences, see [Retention Schedule – 10 Strategy and Governance > Contracts and Licences](#).

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	ESTATES RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Deeds of title and Land Registry documentation	Paper	Freehold sold	N/A	Transfer to new owner	ICSA & TNA recommendation	These records refer to ownership of the land, regardless of any buildings upon it.	Estates fireproof cabinets & scanned copy on K:drive		Not published	
Leases and related documentation	Paper	Expiry / termination of lease	15 years	Destroy	ICSA & TNA recommendation; Limitation Act 1980; Latent Damage Act 1986 JISC recommendation		eRecords System	Estates fireproof cabinets & scanned copy on K:drive	Not published	
Subletting agreements	Paper	Expiry / termination of agreement	12 years	Destroy	ICSA & TNA recommendation; Limitation Act 1980 JISC recommendation		eRecords System	Estates fireproof cabinets & scanned copy on K:drive	Not published	
Wayleave agreements	Paper	Expiry / termination of agreement	12 years	Destroy	ICSA & TNA recommendation; Limitation Act 1980	Rights of access over land	Estates fireproof cabinets?		Not published	
Guarantees on materials and workmanship	Paper	Expiry of guarantee	15 years	Destroy		Forms part of O&M Manual	eRecords System	Estates store room	Not published	
Section 106 agreements: Town and Country Planning Act 1990	Paper	Expiry / termination of agreement	12 years	Destroy	Limitation Act 1980	Legal agreements to mitigate the impact of development and make acceptable in planning terms a proposal that would not otherwise be accepted	Estates fireproof cabinets?		Not published	
Section 278 agreements: Highways Act	Paper	Expiry / termination of agreement	12 years	Destroy	Limitation Act 1980	Legal agreement between local authority and developer to pay for, or make alterations/improvements to the highway	Estates fireproof cabinets?		Not published	
Landlords' consents	Paper	Expiry / termination / surrender of lease or memoranda of terms	15 years	Destroy	ICSA & TNA recommendation; Limitation Act 1980; Latent Damage Act 1986		Estates fireproof cabinets?		Not published	

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RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	ESTATES RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Listed building consents and related correspondence	Paper	Property sold†	N/A	Transfer to new owner	ICSA & TNA recommendation	Currently part of the project file, but would require extracting for longer retention			Not published	
Building regulations	Paper	Property sold†	N/A	Transfer to new owner	Building Regs 2010	For example: approval notices; completion certificates Forms part of the O&M Manual	eRecords System	Estates store room	Not published	
Unsuccessful negotiations for the acquisition of property	Paper	Closure of negotiations	6 years	Destroy	JISC recommendation Limitation Act 1980				Not published	

† In the unlikely event of the building being demolished. Retain for 12yrs (40yrs if it contained asbestos) from the date of demolition and then consider archiving.

## 1.2. Estates Assets

### 1.2.1. Maintenance Records

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	ESTATES RETENTION PERIOD	H&S RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Maintenance schedules and programmes	P/E	When superseded	15 years		Destroy	ICSA & TNA recommendation		CAFM (Planon)	Maximo	Not published	
Maintenance diaries or logs	P/E	Final entry	15 years		Destroy	ICSA & TNA recommendation		Log book for building on Planon		Not published	
Records of maintenance, where the work is classed as a project	P/E	Property/equipment sold†/disposed	N/A		Transfer to new owner	JISC recommendation	Forms part of O&M Manual	eRecords System & CAFM	Estates store room & Maximo	Not published	
Records of maintenance, not classed as a project	P/E	Completion of work	15 years		Destroy	JISC recommendation Limitation Act 1980		CAFM	Maximo	Not published	
Inspections and tests of portable electrical equipment	P/E	When superseded	5 years*	5 years*	Destroy		Health & Safety record internal PAT testing, Estates manage contractor PAT testing. It is planned to record both on the H&S system in time.  *or until item/equipment is decommissioned, whichever is the longer	H&S: PAT Guard 3	N/A	Not published	
Operation and Maintenance manuals, and Health & Safety file	P/E	Property/equipment sold†/disposed	N/A		Transfer to new owner	Limitation Act 1980 Reg 12, The Construction (Design & Management) Regs (SI2015/51) JISC recommendation		Estates: Hard Copy and eRecords	Estates store room	Not published	

† In the unlikely event of the building being demolished. Retain for 12yrs (40yrs if it contained asbestos) from the date of demolition and then consider archiving.

1.2.2. Registers, Reports and Plans

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	ESTATES RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Architectural reports	P/E	Date of issue	25 years	Destroy	ICSA & TNA recommendation		K:drive			
Building condition surveys	P/E	Date of issue	25 years	Destroy	ICSA & TNA recommendation		K:drive			
Conservation reports (historic and listed buildings)	P/E	Date of issue	25 years	Destroy	ICSA & TNA recommendation		K:drive			
Site surveys	P/E	Date of compilation	25 years	Destroy	ICSA & TNA recommendation		K:drive			
Structural engineering, mechanical and electrical engineering, and drainage services reports	P/E	Date of issue	15 years	Destroy	ICSA & TNA recommendation		K:drive			
Drawings, plans and photographs	P/E	Property sold†	N/A	Transfer to new owner		For example: 'as built' drawings, design drawings Forms part of the O&M Manual	eRecords System		Some are shared for public consultation. CAD operators have list of what has been shared & why	

† In the unlikely event of the building being demolished. Retain for 12yrs (40yrs if it contained asbestos) from the date of demolition and then consider archiving.

**1.2.3. Environmental Management**

**NB:** For asbestos and other H&S inspections/reports, see **Retention Schedule – 08 Risk Management > Health and Safety Records**

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	ESTATES RETENTION PERIOD	H&S RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Environmental audits	P/E	Completion of audit	5 years		Destroy	JISC recommendation	NB: includes conduct of audit, results and actions taken to address issues raised Forms part of the ISO14001 file. For retention of audits undertaken by the Internal Auditor, see Retention Schedule – 2 Audit Records > Internal Audits	eRecords System	K:drive	Not published	
Space audits	P/E	Completion of subsequent audit	5 years		Destroy	JISC recommendation		K:drive		Not published	
Risk assessment of environmental hazards	P/E	Completion of subsequent assessment or elimination of risk	5 years		Destroy	JISC recommendation		Online (3rd Party System)		Not published	
Environmental awareness campaigns	P/E	End of academic year	5 years		Destroy	JISC recommendation		eRecords system		Not published	
Records relating to environmental incidents	P/E	Closure of investigation		40 years	Destroy	JISC recommendation	NB: incidents on University premises or caused by the operation of the University Forms part of the H&S incident management system (HS1 form with environmental flag)	eRecords system		Not published	
Notification of reportable environmental incidents to enforcing authorities	P/E	Date of notification		5 years	Destroy	JISC recommendation	Forms part of the H&S incident management system (e.g. fly-tipping report)	eRecords system		Not published	
Use and consumption of energy – routine monitoring	P/E	End of academic year	5 years		Destroy	JISC recommendation	Data monitor spreadsheet	K:drive, but will go onto “Systems Link” online		Not published	
Use and consumption of energy – formal reviews	P/E	Completion of review	5 years		Destroy	JISC recommendation		K:drive, but will go onto “Systems Link” online		Not published	

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Display energy certificates	P/E	Date of issue	10 years		Destroy	Energy Performance of Buildings Regulations 2012		K:drive		Not published	
Disposal of hazardous waste	P/E	Removal of waste	3 years		Destroy	Regulation 49(3) of the Hazardous Waste Regulations 2005 (SI 2009/507) JISC recommendation		Scanned onto K:drive		Not published	
Disposal of waste	P/E	Removal of waste	2 years		Destroy	The Waste Regulations 2011 (SI 2012/1889)	NB: SI 2005/894 repealed 1996/972, but 2005/894 Regulation 51(4) requires registers made under SI 1996/972 Regulation 15(4) to be retained for the period specified.	Scanned onto K:drive		Not published	

1.2.4. Physical Security

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	ESTATES RETENTION PERIOD	DEPTS RETENTION PERIOD	IS RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Records of routine security surveillance of properties	P/E	Creation	1 month			Destroy	JISC recommendation	NB: includes CCTV surveillance				
Records of periodic security inspections of properties	P/E	Completion of subsequent inspection	N/A			Destroy		NB: includes actions taken to address issues raised				
Records of security breaches or incidents	P/E	Last action on incident	1 year			Destroy	JISC recommendation	NB: includes actions taken to address issues raised				
Records relating to the control of access to secure areas	P/E	End of academic year	2 years			Destroy	JISC recommendation	For example: access registers; key registers; security data logs				
Records of University cards issued to staff and students	P/E	Expiry of pass/card			1 year	Destroy	JISC recommendation		University Card System		Student photos are available to academics via portal	
Temporary visitor/contractor cards: records of who has been issued the card and when	P/E	Expiry of pass/card		1 year		Destroy			K:drive or local filing			



### 1.3. IT Hardware and Software

#### 1.3.1. System Maintenance

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 any changes, maintenance and documentation used to support and define UoP IT assets (i.e. hardware, software, held internally and externally to the University)	Electronic	System or service decommissioned	N/A	Destroy		IS reserve the right due to operational or efficiency reasons (e.g. upgrades) to remove data as required.	Configuration Management Database Changes are held in Service Manager system (service desk)	N/A	Not published	

#### 1.3.2. User Support

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 incidents and service requests relating to services defined in the Service Catalogue and other services (i.e. managed services) provided by IS	Electronic	System or service decommissioned	N/A	Destroy		IS reserve the right due to operational or efficiency reasons (e.g. upgrades) to remove data as required.	Service Manager system (service desk)	N/A	Requesters can see their own history	

### 1.4. Fixed Assets

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	FINANCE RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Fixed Assets							Asset-i			