Records Retention Schedule

The University’s Records Retention Schedule documents the minimum length of time University records should be retained to comply with legal, regulatory and operational requirements including the Freedom of Information Act 2000 and the General Data Protection Regulation EU 2016/679.

This Records Retention Schedule should be used to ensure that records are destroyed in a planned way to enable documents required as a source of evidence or information to be retained as long as necessary and records no longer needed are identified and destroyed securely, freeing up space and ensuring that the University complies with information legislation.

Retention periods within this schedule are applied to records in whatever medium they are held (paper, electronic, etc).

Using this Schedule

This schedule identifies the relevant functions of the University and categories of records that each function holds. Each section has a list of the records (Record Description) down the left-hand side and describes the type of records, the minimum retention period, the record holder, recommended disposal action and the business decision supporting the retention period. Retention periods are minimum retention periods which means that records may be retained for a longer period should they be required but must not be disposed of before the period set out in this schedule.

The schedule may identify records which are required to be retained for a number of years or permanently (even though they may no longer be referenced on a regular basis). Such records where retained in a paper form need to be stored in a safe environment and this may include off-site storage at RADS.

At the end of the retention period the appropriate action should be taken against each record:

**Destroy:** the record can be destroyed using a safe and appropriate method depending upon the type of record. For electronic records, this will be ‘deleted’ and for paper records this should be disposal/recycling or confidential shredding. For all confidential records and records containing personal data or financial information, the record should be disposed of using confidential waste disposal and a record of the destruction should be retained.

**Review:** records marked for review may be retained for a longer period and their status should be checked before any action is taken.

**Record Holder:** is the area of the University responsible for holding, managing, retaining and subsequent destruction (where applicable) of the record irrespective of where the record is stored.

This schedule is a live document and where a member of staff identifies a record which is not identified within this schedule, please seek guidance from Legal Services. Any suggestions for change in working practices for records listed within this schedule should be discussed with the responsible department and full details **must** be sent to Legal Services for updating.
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**In Student Administration and Support:**
Student Administration / Student Fees and Finance / Individual Student File / Student Discipline / Student Careers / Student Welfare / Student Committees and Surveys / Student Assessment / Professorships / Graduation / NTU Sports

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1.4 Student Discipline
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<td>Student Support Services</td>
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### 1.7 Student Committees and Surveys

| 1.7.1  | Staff / Student Liaison Committees: Establishment and operation | Life of Committee + 3 Years           | Paper / Electronic | College/Student Support Services | Destroy                           | Business Reasons | N |

### 1.8 Student Assessment

<p>| 1.8.1  | Examination Invigilators: Design and Delivery of Training | Current Academic Year + 1 Year        | Electronic        | Academic Registry              | Destroy                           | Business Reasons | N |
| 1.8.2  | Examination Invigilators: Reports | Current Academic Year + 1 Year        | Paper            | Academic Registry              | Destroy                           | Business Reasons | N |</p>
<table>
<thead>
<tr>
<th>Ref.</th>
<th>Record Description</th>
<th>Retention Period</th>
<th>Format</th>
<th>Record Holder</th>
<th>Action at end of Retention Period</th>
<th>Reason for Retention Period</th>
<th>Personal Info?</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.8.3</td>
<td>Examination: Attendance Registers</td>
<td>Current Academic Year + 1 Year</td>
<td>Paper</td>
<td>Academic Registry</td>
<td>Destroy</td>
<td>Business Reasons</td>
<td>Y</td>
</tr>
<tr>
<td>1.8.4</td>
<td>Examination: Control of Papers and Scripts</td>
<td>Current Academic Year + 1 Year</td>
<td>Paper/Electronic</td>
<td>College</td>
<td>Destroy</td>
<td>Business Reasons</td>
<td>N</td>
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<tr>
<td>1.8.5</td>
<td>Examination: Scripts</td>
<td>Current Academic Year + 1 Year</td>
<td>Paper</td>
<td>College</td>
<td>Destroy</td>
<td>Business Reasons</td>
<td>Y</td>
</tr>
<tr>
<td>1.8.6</td>
<td>Examination: Timetabling and Organisation of Examination Facilities</td>
<td>Current Academic Year + 1 Year</td>
<td>Paper/Electronic</td>
<td>Academic Registry/College</td>
<td>Destroy</td>
<td>Business Reasons</td>
<td>N</td>
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<tr>
<td>1.8.7</td>
<td>Examination: Special arrangements for students with special needs</td>
<td>Current Academic Year + 1 Year</td>
<td>Paper/Electronic</td>
<td>Academic Registry/College</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<tr>
<td>1.8.8</td>
<td>Examination: Results Lists</td>
<td>Permanent</td>
<td>Paper/Electronic</td>
<td>College</td>
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<td>Business Reasons</td>
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<tr>
<td>1.8.9</td>
<td>Awards: Results Lists</td>
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<td>Paper/Electronic</td>
<td>Academic Registry/College</td>
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<td>Business Reasons</td>
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<tr>
<td>1.8.10</td>
<td>Dissertations</td>
<td>Returned to Student</td>
<td>Paper/Electronic</td>
<td>Student</td>
<td></td>
<td></td>
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<tr>
<td>1.8.11</td>
<td>Dissertations (not returned to student)</td>
<td>Current Academic Year + 1 Year</td>
<td>Paper/Electronic</td>
<td>College</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<tr>
<td>1.8.12</td>
<td>Coursework</td>
<td>Returned to Student</td>
<td>Paper/Electronic</td>
<td>Student</td>
<td>Destroy</td>
<td>Business Reasons</td>
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</tr>
<tr>
<td>1.8.13</td>
<td>Coursework (not returned to student)</td>
<td>Current Academic Year + 1 Year</td>
<td>Paper/Electronic</td>
<td>College</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<tr>
<td>1.8.14</td>
<td>Coursework: Individual Students Submission Evidence</td>
<td>Current Academic Year + 1 Year</td>
<td>Electronic</td>
<td>College</td>
<td>Destroy</td>
<td>Business Reasons</td>
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</table>
# 1. Records Retention Schedule: Student Administration and Support

<table>
<thead>
<tr>
<th>Ref.</th>
<th>Record Description</th>
<th>Retention Period</th>
<th>Format</th>
<th>Record Holder</th>
<th>Action at end of Retention Period</th>
<th>Reason for Retention Period</th>
<th>Personal Info?</th>
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<tbody>
<tr>
<td>1.8.15</td>
<td>Theses</td>
<td>Permanent</td>
<td>Electronic</td>
<td>NTU Doctoral School/Library</td>
<td></td>
<td>Business Reasons</td>
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<tr>
<td>1.8.16</td>
<td>Coursework: Feedback on NOW</td>
<td>Current Academic Year + 3 Years</td>
<td>Electronic</td>
<td>Schools, in NOW</td>
<td>Destroy</td>
<td>Business Reasons</td>
<td>Y</td>
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<tr>
<td>1.8.17</td>
<td>Coursework: Feedback and assessment schedules for submission, marking and return</td>
<td>Current Academic Year + 1 Year</td>
<td>Electronic</td>
<td>College</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<tr>
<td>1.8.18</td>
<td>NEC's: Submissions and Decisions</td>
<td>Current Academic Year + 6 Years</td>
<td>Paper / Electronic</td>
<td>College</td>
<td>Destroy</td>
<td>Limitation Act 1980</td>
<td>Y</td>
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<tr>
<td>1.8.19</td>
<td>NEC's: Minutes</td>
<td>Permanent</td>
<td>Paper / Electronic</td>
<td>Colleges</td>
<td>Destroy</td>
<td>Business Reasons</td>
<td>Y</td>
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<tr>
<td>1.8.20</td>
<td>Academic Appeals (R4R): Casework Docs</td>
<td>Completion of Case + 6 Years</td>
<td>Electronic</td>
<td>College</td>
<td>Destroy</td>
<td>Limitation Act 1980</td>
<td>Y</td>
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<tr>
<td>1.8.21</td>
<td>Academic Appeals: Casework Docs</td>
<td>Completion of Case + 6 Years</td>
<td>Electronic</td>
<td>Academic Registry</td>
<td>Destroy</td>
<td>Limitation Act 1980</td>
<td>Y</td>
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<tr>
<td>1.8.22</td>
<td>Academic Appeals: Policy</td>
<td>Superseded + 6 Years</td>
<td>Electronic</td>
<td>Academic Registry</td>
<td>Destroy</td>
<td>Limitation Act 1980</td>
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<tr>
<td>1.8.23</td>
<td>Annotated Exam Board Spreadsheets</td>
<td>Current Academic Year + 1 Year</td>
<td>Paper / Electronic</td>
<td>College</td>
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<td>Business Reasons</td>
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<tr>
<td>1.8.24</td>
<td>Mark Sheets (submitted by Academic colleagues)</td>
<td>Completion of Course + 1 Year</td>
<td>Electronic</td>
<td>College</td>
<td>Destroy</td>
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## 1.9 Professorships

<table>
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<th>Ref.</th>
<th>Record Description</th>
<th>Retention Period</th>
<th>Format</th>
<th>Record Holder</th>
<th>Action at end of Retention Period</th>
<th>Reason for Retention Period</th>
<th>Personal Info?</th>
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<tbody>
<tr>
<td>1.9.1</td>
<td>Internal Promotions to Professor or Reader (Unsuccessful)</td>
<td>Current Academic Year + 5 Years</td>
<td>Paper/Electronic</td>
<td>Academic Registry</td>
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<tr>
<td>1.9.2</td>
<td>Internal Promotions to Professor or Reader (successful)</td>
<td>End of Employment + 6 Years</td>
<td>Paper/Electronic</td>
<td>Academic Registry</td>
<td>Destroy</td>
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1. Records Retention Schedule: Student Administration and Support

<table>
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<th>Ref.</th>
<th>Record Description</th>
<th>Retention Period</th>
<th>Format</th>
<th>Record Holder</th>
<th>Action at end of Retention Period</th>
<th>Reason for Retention Period</th>
<th>Personal Info?</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.9.3</td>
<td>Awards &amp; Titles Minutes</td>
<td>Permanent</td>
<td>Paper/Electronic</td>
<td>Academic Registry</td>
<td>Business Reasons</td>
<td>Y</td>
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<tr>
<td>1.9.4</td>
<td>Visiting/Emeritus Professors / Visiting Fellows: documentation</td>
<td>Current Academic Year + 5 Years</td>
<td>Paper/Electronic</td>
<td>College / Human Resources</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<tr>
<td>1.10</td>
<td>Graduation</td>
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<td>1.10.1</td>
<td>Awards: Organisation of Ceremonies</td>
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<td>Electronic</td>
<td>Academic Registry</td>
<td>Business Reasons</td>
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<tr>
<td>1.10.2</td>
<td>Awards: Production of Certificates</td>
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<td>Electronic</td>
<td>Academic Registry</td>
<td>Business Reasons</td>
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<td>1.10.3</td>
<td>Awards: Duplicate Certificates</td>
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<td>Electronic</td>
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<td>Business Reasons</td>
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<tr>
<td>1.10.4</td>
<td>Awards: Uncollected certificates</td>
<td>Permanent</td>
<td>Paper</td>
<td>Academic Registry</td>
<td>Business Reasons</td>
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<tr>
<td>1.10.5</td>
<td>Awards: Certificate Audit Logs</td>
<td>Permanent</td>
<td>Paper</td>
<td>Academic Registry</td>
<td>Business Reasons</td>
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<tr>
<td>1.10.6</td>
<td>Honorary Awards: Nominations and Decisions</td>
<td>Current Academic Year + 10 Years</td>
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<td>Academic Registry / College</td>
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<td>Business Reasons</td>
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<tr>
<td>1.10.7</td>
<td>Fake certificates &amp; related correspondence</td>
<td>Permanent</td>
<td>Electronic /Paper</td>
<td>Academic Registry</td>
<td>Business Reasons</td>
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<td>1.10.8</td>
<td>Certificate design / related documentation including logo/ signatures</td>
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<td>Electronic /Paper</td>
<td>Academic Registry</td>
<td>Business Reasons</td>
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<tr>
<td>1.11</td>
<td>NTU Sport</td>
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### 1. Records Retention Schedule: Student Administration and Support

<table>
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<tr>
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<th>Record Holder</th>
<th>Action at end of Retention Period</th>
<th>Reason for Retention Period</th>
<th>Personal Info?</th>
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<tbody>
<tr>
<td>1.11.1</td>
<td>Class Numbers Recording</td>
<td>Current Academic Year + 3 Years</td>
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<td>NTU Sport</td>
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<td>1.11.2</td>
<td>Emergency Action Plan</td>
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<td>Business Reasons</td>
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<td>1.11.3</td>
<td>Enquiries Database</td>
<td>Current Academic Year + 3 Years</td>
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<td>NTU Sport</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<tr>
<td>1.11.4</td>
<td>External / Block Booking forms</td>
<td>Current Academic Year + 2 Years</td>
<td>Paper / Electronic</td>
<td>NTU Sport</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<tr>
<td>1.11.5</td>
<td>First Aid Participants</td>
<td>Current Academic Year + 3 Years</td>
<td>Paper</td>
<td>NTU Sport</td>
<td>Destroy</td>
<td>Health &amp; Safety</td>
<td>Y</td>
</tr>
<tr>
<td>1.11.6</td>
<td>Inspection Records: Facility</td>
<td>Current Academic Year + 3 Years</td>
<td>Electronic</td>
<td>NTU Sport</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<tr>
<td>1.11.7</td>
<td>Inspection Records: Equipment</td>
<td>Current Academic Year + 2 Years</td>
<td>Electronic</td>
<td>NTU Sport</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<tr>
<td>1.11.8</td>
<td>Membership Form</td>
<td>Current Academic Year + 2 Years</td>
<td>Paper</td>
<td>NTU Sport</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<tr>
<td>1.11.9</td>
<td>Normal Operation Procedure</td>
<td>Superseded</td>
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<td>1.11.10</td>
<td>nu2sport Participant Data</td>
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<td>Funding</td>
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<tr>
<td>1.11.11</td>
<td>Outdoor Clubs Participation Numbers</td>
<td>Current Academic Year + 3 Years</td>
<td>Paper / Electronic</td>
<td>NTU Sport</td>
<td>Destroy</td>
<td>Business Reasons</td>
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### 1. Records Retention Schedule: Student Administration and Support

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<th>Action at end of Retention Period</th>
<th>Reason for Retention Period</th>
<th>Personal Info?</th>
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</thead>
<tbody>
<tr>
<td>1.11.12</td>
<td>Registers: Sports Volunteering / attendance / sport teamsheets</td>
<td>Current Academic Year + 3 Years</td>
<td>Electronic</td>
<td>NTU Sport</td>
<td>Destroy</td>
<td>Business Reasons</td>
<td>Y</td>
</tr>
<tr>
<td>1.11.13</td>
<td>Reports: Performance</td>
<td>Current Academic Year + 5 Years</td>
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<td>NTU Sport</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<tr>
<td>1.11.14</td>
<td>Reports: Physio</td>
<td>Current Academic Year + 3 Years</td>
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<tr>
<td>1.11.15</td>
<td>Reports: Strength &amp; Conditioning</td>
<td>Current Academic Year + 3 Years</td>
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<td>1.11.16</td>
<td>Segmentation of Students Taking Part in Activities</td>
<td>Current Academic Year + 3 Years</td>
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<td>Destroy</td>
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<tr>
<td>1.11.17</td>
<td>Sport Scholarship Applications</td>
<td>Current Academic Year + 1 Year</td>
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<td>NTU Sport</td>
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<td>1.11.18</td>
<td>Sport Scholarship Database</td>
<td>Current Academic Year + 3 Years</td>
<td>Electronic</td>
<td>NTU Sport</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<tr>
<td>1.11.19</td>
<td>Sports Club: Committee Registers</td>
<td>Current Academic Year + 1 Year</td>
<td>Electronic</td>
<td>NTU Sport</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<tr>
<td>1.11.20</td>
<td>Sports Club: Handbook</td>
<td>Superseded</td>
<td>Electronic</td>
<td>NTU Sport</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<tr>
<td>1.11.21</td>
<td>Sports Club: Risk Assessments</td>
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<td>Electronic</td>
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<td>Health &amp; Safety</td>
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<tr>
<td>1.11.22</td>
<td>Staff: Rota</td>
<td>Current Academic Year + 2 Years</td>
<td>Electronic</td>
<td>NTU Sport</td>
<td>Destroy</td>
<td>Business Reasons</td>
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### 1. Records Retention Schedule: Student Administration and Support

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<tr>
<th>Ref.</th>
<th>Record Description</th>
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<th>Action at end of Retention Period</th>
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<td>Staff: Shift Swap Request</td>
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<td>Electronic</td>
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<td>Business Reasons</td>
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</tr>
<tr>
<td>1.11.24</td>
<td>Staff: Holiday and Sickness</td>
<td>Current Academic Year + 3 Years</td>
<td>Electronic</td>
<td>NTU Sport</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<tr>
<td>1.11.25</td>
<td>Staff: contact details</td>
<td>Current</td>
<td>Electronic</td>
<td>NTU Sport</td>
<td>Destroy</td>
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<td>1.11.26</td>
<td>TASS Tracking Sheets</td>
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<tr>
<td>1.11.27</td>
<td>Team Meeting Minutes</td>
<td>Current Academic Year + 2 Years</td>
<td>Electronic</td>
<td>NTU Sport</td>
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<td>1.11.28</td>
<td>Team Sheets</td>
<td>Current Academic Year + 1 Year</td>
<td>Paper / Electronic</td>
<td>NTU Sport</td>
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<td>1.11.29</td>
<td>Trip Registration</td>
<td>Current Academic Year + 1 Year</td>
<td>Paper / Electronic</td>
<td>NTU Sport</td>
<td>Destroy</td>
<td>Health &amp; Safety</td>
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<td>1.11.30</td>
<td>UCAS Tracking Sheet</td>
<td>Current Academic Year + 3 Years</td>
<td>Electronic</td>
<td>NTU Sport</td>
<td>Destroy</td>
<td>Business Reasons</td>
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</table>
## 2. Records Retention Schedule: Learning and Teaching

### In Learning and Teaching:
- Academic Quality and Standards / Validation Service – Student Admin and Data / Validation Service – Quality Assurance / Validation Service and School Based – Legal / Validation Service and School Based – Business

<table>
<thead>
<tr>
<th>Ref.</th>
<th>Record Description</th>
<th>Retention Period</th>
<th>Format</th>
<th>Record Holder</th>
<th>Action at end of Retention Period</th>
<th>Reason for Retention Period</th>
<th>Personal Info?</th>
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<td>2.1.1</td>
<td>SRAD (self-appraisal document for Periodic School Review)</td>
<td>Permanent</td>
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<td>CADQ</td>
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<td>QAA evidence and business reasons</td>
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<td>2.1.2</td>
<td>Periodic School Review (PSR) report</td>
<td>Permanent</td>
<td>Electronic</td>
<td>CADQ</td>
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<td>QAA evidence and business reasons</td>
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<td>2.1.3</td>
<td>PSR follow up report</td>
<td>Permanent</td>
<td>Electronic</td>
<td>CADQ</td>
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<td>QAA evidence and business reasons</td>
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<td>2.1.4</td>
<td>Statistical data from Banner to enable production of Equality &amp; Diversity and Widening Participation reports (progression, attainment and graduate destinations)</td>
<td>Current Academic Year + 5 Years</td>
<td>Electronic</td>
<td>Schools Colleges and Community Outreach (SCCO)</td>
<td>Destroy</td>
<td>QAA evidence and business reasons</td>
<td>N</td>
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<tr>
<td>2.1.5</td>
<td>UCAS applications cycle data to enable tracking of SCCO participants into NTU applications</td>
<td>Current Academic Year + 5 Years</td>
<td>Electronic</td>
<td>Schools Colleges and Community Outreach (SCCO)</td>
<td>Destroy</td>
<td>OFFA/OFS reporting and business reasons</td>
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<td>2.1.6</td>
<td>SCCO participant data to enable tracking students’ attainment and progression to HE</td>
<td>Current Academic Year + 5 Years</td>
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<td>Schools Colleges and Community Outreach (SCCO)</td>
<td>Destroy</td>
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<td>2.1.7</td>
<td>DFE attainment data of former SCCO participants</td>
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<td>2.1.8</td>
<td>HESA student data for former SCCO participants</td>
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<td>Key evaluation data for OFFA/OFS reporting</td>
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### 2. Records Retention Schedule: Learning and Teaching

<table>
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<th>Ref.</th>
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<th>Record Holder</th>
<th>Action at end of Retention Period</th>
<th>Reason for Retention Period</th>
<th>Personal Info?</th>
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<tbody>
<tr>
<td>2.1.9</td>
<td>School Action Plans (if separate from SSQR)</td>
<td>Current Academic Year + 5 Years</td>
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<td>School LTES Action Plan</td>
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<td>2.1.11</td>
<td>Schools Standards and Quality Report</td>
<td>Current Academic Year + 5 Years</td>
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<td>School (SASQC)</td>
<td>Destroy</td>
<td>QAA evidence and business reasons</td>
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<td>2.1.12</td>
<td>Course Standards and Quality Report</td>
<td>Current Academic Year + 5 Years</td>
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<td>2.1.13</td>
<td>School staff development plans where available</td>
<td>Current Academic Year + 2 Years</td>
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<td>Internal periodic quality review</td>
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<td>Details of staff development activity and processes</td>
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<td>2.1.15</td>
<td>College Research Degrees Committee terms of reference</td>
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<td>2.1.16</td>
<td>Evidence of School approach to Peer Review of Teaching (and resulting action if applicable)</td>
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<td>2.1.17</td>
<td>School Academic Standards and Quality Committee (SASQCs) minutes and agendas</td>
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<td>2.1.18</td>
<td>Learning and Teaching Committee (or similar) - minutes and Agendas</td>
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<td>QAA evidence</td>
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## 2. Records Retention Schedule: Learning and Teaching

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<tr>
<td>2.1.19</td>
<td>School Student Fora, and other liaison committees or equivalent - minutes and agendas</td>
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<td>2.1.20</td>
<td>School employers’ forum or equivalent, where applicable - minutes and agendas</td>
<td>Current Academic Year + 2 Years</td>
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<td>2.1.21</td>
<td>Other School Committees/Groups - minutes and agendas where relevant to support statements in the SRAD</td>
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<td>School Strategies of relevance to QA/QE where relevant to support statements in the SRAD</td>
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<tr>
<td>2.1.23</td>
<td>Course Committees – agenda and minutes</td>
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<td>2.1.24</td>
<td>Any course-level staff-student consultative groups -agenda and minutes</td>
<td>Current Academic Year + 2 Years</td>
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<td>2.1.25</td>
<td>Team meetings (Notes/minutes)</td>
<td>Current Academic Year + 2 Years</td>
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<td>PSR evidence</td>
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<tr>
<td>2.1.26</td>
<td>Any course level employer forum activity (Notes/Minutes)</td>
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<td>2.1.27</td>
<td>PSRB reports</td>
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<td>External examiner reports</td>
<td>Current Academic Year + 3 Years</td>
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<td>CADQ</td>
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<td>Evidence of student feedback at course level</td>
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<td>2.1.31</td>
<td>Exemplar Module Handbook</td>
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<td>Ofsted inspection reports about the provider and organisations with whom it delivers learning opportunities</td>
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<td>CADQ</td>
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<td>Course and module specifications</td>
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<td>QAA, OFS</td>
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<td>Quality Handbook</td>
<td>Current Academic Year + 3 Years</td>
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<td>Destroy</td>
<td>QAA, internal business reasons</td>
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<tr>
<td>2.1.36</td>
<td>Student Induction Course: Design, Conduct and Review</td>
<td>End of Induction Course + 5 Years</td>
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<td>Business Reasons</td>
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<tr>
<td>2.1.37</td>
<td>Student Induction Course: Administration and Events for New Students</td>
<td>Current Academic Year + 1 Year</td>
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<td>School</td>
<td>Destroy</td>
<td>Business Reasons</td>
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### 2. Records Retention Schedule: Learning and Teaching

<table>
<thead>
<tr>
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<tr>
<td>2.1.38</td>
<td>Assessment &amp; Examination: Development and Establishment of Rules and Procedures</td>
<td>Superseded + 10 Years</td>
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<td>CADQ &amp; Academic Registry</td>
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<td>Business Reasons</td>
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<tr>
<td>2.1.39</td>
<td>External Examiners: Selection and Appointment</td>
<td>Termination of Appointment + 1 Year</td>
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<td>Destroy</td>
<td>Business Reasons</td>
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<td>2.1.40</td>
<td>External Examiners: Administrative liaison matters</td>
<td>Current Academic Year + 1 Year</td>
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<tr>
<td>2.1.41</td>
<td>Board of Examiners: Minutes</td>
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<td>Business Reasons</td>
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<td>2.1.42</td>
<td>Boards of Examiners: Information &amp; Guidance</td>
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<td>Academic Registry</td>
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<td>2.1.43</td>
<td>Accreditation Minutes</td>
<td>Current Academic Year + 5 Years</td>
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<td>Teaching: Timetabling and management of teaching space</td>
<td>Current Academic Year</td>
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<td>Student retention research</td>
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<td>Academic Research</td>
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#### 2.2 Validation Service – Student Admin and Data

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<tr>
<td>2.2.1</td>
<td>Registration lists</td>
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<td>Electronic /Paper</td>
<td>UK – CADQ Overseas – NTU Global</td>
<td>Business Reasons</td>
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<td>2.2.2</td>
<td>Conferment lists (including mark sheets)</td>
<td>Permanent</td>
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<td>UK – CADQ Overseas – NTU Global</td>
<td>Business Reasons</td>
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### 2. Records Retention Schedule: Learning and Teaching

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<tr>
<td>2.2.3</td>
<td>Transcripts</td>
<td>Permanent</td>
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<td>Business Reasons</td>
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<td>2.2.4</td>
<td>Verification letters</td>
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#### 2.3 Validation Service – Quality Assurance

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<tr>
<td>2.3.1</td>
<td>Annual monitoring reports (CSQR/VCSQR/PSQR)</td>
<td>Current Academic Year + 5 Years</td>
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<td>VSSC feedback</td>
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<tr>
<td>2.3.3</td>
<td>External Examiner nomination forms</td>
<td>Termination of Appointment + 4 Years</td>
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<td>2.3.4</td>
<td>External Examiner reports</td>
<td>Current Academic Year + 5 Years</td>
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<td>CADQ</td>
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<td>Business Reasons</td>
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<td>2.3.5</td>
<td>Academic Liaison reports</td>
<td>Current Academic Year + 5 Years</td>
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<td>2.3.6</td>
<td>Academic Liaison memos or handbook</td>
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<td>Academic Liaison annual meeting minutes</td>
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<td>Course Approval Reports</td>
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<tr>
<td>2.3.9</td>
<td>Institutional Review and Course Review Reports</td>
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<td>2.3.10</td>
<td>Definitive course documents – module specifications</td>
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<td>Modifications to courses</td>
<td>Review + 1 Year</td>
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#### 2.4 Validation Service and School Based – Legal

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<td>CADQ / NTU Global / College</td>
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#### 2.5 Validation Service and School Based – Business

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<th>Personal Info?</th>
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<td>Completed Business Approval Forms (previously BCT)</td>
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# 3. Records Retention Schedule: Finance

**In Finance:**
General Finance / Payroll / Insurance / Financial Planning / Procurement

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<tr>
<th>Ref.</th>
<th>Record Description</th>
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### 3. Records Retention Schedule: Finance

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### 3. Records Retention Schedule: Finance

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<td>Grants (including Research Councils and Corporate Sponsors): Administration</td>
<td>End of Grant + 6 Years</td>
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#### 3.5 Procurement

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<td>3.5.7</td>
<td>Tender Short listing criteria</td>
<td>Current Academic Year + 4 Years</td>
<td>Electronic</td>
<td>Procurement</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<td>3.5.8</td>
<td>Tender: Prequalification and supplier appraisals of short listed tenderers</td>
<td>Current Academic Year + 4 Years</td>
<td>Electronic</td>
<td>Procurement</td>
<td>Destroy</td>
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<tr>
<td>3.5.9</td>
<td>Tender: Responses from suppliers not short listed</td>
<td>3 Months</td>
<td>Electronic</td>
<td>Procurement</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<tr>
<td>3.5.10</td>
<td>Tender: Record of short listed decisions</td>
<td>Current Academic Year + 4 Years</td>
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<td>Destroy</td>
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<td>3.5.11</td>
<td>Maintenance/software licence agreements</td>
<td>End of Licence + 6 Years</td>
<td>Electronic</td>
<td>Procurement</td>
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<td>3.5.15</td>
<td>4th and subsequent tenders over £50K</td>
<td>4 Months</td>
<td>Electronic</td>
<td>Procurement</td>
<td>Destroy</td>
<td>SI 1991/2680, SI 1993/3228, SI 1995 201</td>
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<tr>
<td>Ref.</td>
<td>Record Description</td>
<td>Retention Period</td>
<td>Format</td>
<td>Record Holder</td>
<td>Action at end of Retention Period</td>
<td>Reason for Retention Period</td>
<td>Personal Info?</td>
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<td>3.5.16</td>
<td>Record of supplier meetings/negotiations/clarifications pre-contract award</td>
<td>Current Academic Year + 6 Years</td>
<td>Electronic</td>
<td>Procurement</td>
<td>Destroy</td>
<td>Limitation Act 1980 SI 1991/2680, SI 1993/3228, SI 1995 201</td>
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<td>3.5.18</td>
<td>Contract Award Letter and acceptance</td>
<td>Current Academic Year + 6 Years</td>
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<td>Procurement</td>
<td>Destroy</td>
<td>Limitation Act 1980 SI 1991/2680</td>
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<td>3.5.19</td>
<td>Waiver Request Forms – completed</td>
<td>Current Academic Year + 3 Years</td>
<td>Electronic</td>
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<td>Destroy</td>
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<td>3.5.20</td>
<td>Goods received/returned notes</td>
<td>Current Academic Year + 6 Years</td>
<td>Electronic</td>
<td>User Department</td>
<td>Destroy</td>
<td>Limitation Act, Value Added Tax Act 1994</td>
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<tr>
<td>3.5.21</td>
<td>Stock requisitions</td>
<td>Current Academic Year + 6 Years</td>
<td>Electronic</td>
<td>User Department</td>
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<td>3.5.22</td>
<td>Stores Issue Notes</td>
<td>Current Academic Year + 6 Years</td>
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<td>User Department</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<tr>
<td>3.5.23</td>
<td>Purchasing-related documents for ERDF 2007-13 funded projects</td>
<td>End of Project / Contract + 15 Years</td>
<td>Paper / Electronic</td>
<td>User Department</td>
<td>Review / Destroy as appropriate</td>
<td>ERDF Funding regulations</td>
<td>N</td>
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<tr>
<td>3.5.24</td>
<td>Register of approved suppliers</td>
<td>Current Academic Year</td>
<td>Electronic</td>
<td>Procurement</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<tr>
<td>3.5.25</td>
<td>Contractor Review Reports (monitoring)</td>
<td>End of Contract + 6 Years</td>
<td>Electronic</td>
<td>Procurement</td>
<td>Destroy</td>
<td>Limitation Act 1980</td>
<td>N</td>
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<tr>
<td>3.5.26</td>
<td>Purchasing Card Statements</td>
<td>Current Academic Year + 6 Years</td>
<td>Electronic</td>
<td>User Department</td>
<td>Destroy</td>
<td>Limitation Act 1980</td>
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### 3. Records Retention Schedule: Finance

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<th>Ref.</th>
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<th>Format</th>
<th>Record Holder</th>
<th>Action at end of Retention Period</th>
<th>Reason for Retention Period</th>
<th>Personal Info?</th>
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<tbody>
<tr>
<td>3.5.27</td>
<td>Purchasing Card Transaction Logs</td>
<td>Current Academic Year + 6 Years</td>
<td>Electronic</td>
<td>User Department</td>
<td>Destroy</td>
<td>Limitation Act 1980</td>
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<td>3.5.28</td>
<td>Inventory Record</td>
<td>Current Academic Year</td>
<td>Electronic</td>
<td>User Department</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<td>3.5.29</td>
<td>Inventory Disposal Forms</td>
<td>Current Academic Year + 6 Years</td>
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<td>User Department</td>
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<td>Business Reasons</td>
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<tr>
<td>3.5.30</td>
<td>Purchase Orders</td>
<td>Current Academic Year + 6 Years</td>
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<td>System Manager (e5)</td>
<td>Destroy</td>
<td>Value Added Tax Act 1994</td>
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<td>3.5.31</td>
<td>Delivery Notes</td>
<td>Current Academic Year + 6 Years</td>
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<td>Destroy</td>
<td>Value Added Tax Act 1994</td>
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### 5. Records Retention Schedule: Governance and Management

**In Human Resources:**

<table>
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<th>Action at end of Retention Period</th>
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<tbody>
<tr>
<td>4.1</td>
<td><strong>Personnel</strong></td>
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<td>4.1.1</td>
<td>Personnel Files</td>
<td>End of Employment + 6 Years</td>
<td>Paper</td>
<td>Human Resources</td>
<td>Destroy</td>
<td>Limitations Act 1980</td>
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<tr>
<td>4.1.2</td>
<td>Recruitment: Internal authorisation</td>
<td>End of Employment + 6 Years</td>
<td>Paper</td>
<td>Human Resources</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<td>4.1.6</td>
<td>Recruitment: Unsuccessful Job Applications</td>
<td>Creation of Document + 6 Years</td>
<td>Electronic</td>
<td>Human Resources</td>
<td>Destroy</td>
<td>UKVI Guidance to satisfy Resident Labour Market Test</td>
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</table>
## 5. Records Retention Schedule: Governance and Management

<table>
<thead>
<tr>
<th>Ref.</th>
<th>Record Description</th>
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<th>Action at end of Retention Period</th>
<th>Reason for Retention Period</th>
<th>Personal Info?</th>
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</thead>
<tbody>
<tr>
<td>4.1.9</td>
<td>Starter &amp; Leaver info and transfer documents</td>
<td>End of Employment + 6 Years</td>
<td>Paper / Electronic</td>
<td>Human Resources/Payroll</td>
<td>Destroy</td>
<td>Limitation Act 1980</td>
<td>Y</td>
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<tr>
<td>4.1.11</td>
<td>Employee’s basic personal details (e.g. address, next of kin, emergency contacts)</td>
<td>End of Employment + 6 Years</td>
<td>Paper / Electronic</td>
<td>Human Resources</td>
<td>Destroy</td>
<td>Limitation Act 1980</td>
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<tr>
<td>4.1.12</td>
<td>Staff Induction: Administration of programmes</td>
<td>End of Employment + 6 Years</td>
<td>Paper / Electronic</td>
<td>Human Resources</td>
<td>Destroy</td>
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<tr>
<th>Ref.</th>
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<th>Action at end of Retention Period</th>
<th>Reason for Retention Period</th>
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<tr>
<td>4.1.15</td>
<td>Changes to an employee's terms and conditions of employment</td>
<td>End of Employment + 6 Years</td>
<td>Paper / Electronic</td>
<td>Human Resources</td>
<td>Destroy</td>
<td>Limitation Act 1980</td>
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<td>4.1.16</td>
<td>Administration of an employee's contractual holiday entitlement</td>
<td>End of Employment + 6 Years</td>
<td>Paper</td>
<td>Human Resources</td>
<td>Destroy</td>
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<tr>
<td>4.1.17</td>
<td>Monitoring of hours worked by employees</td>
<td>End of Employment + 6 Years</td>
<td>Paper / Electronic</td>
<td>Human Resources / Payroll</td>
<td>Destroy</td>
<td>SI 1998 / 1833</td>
<td>Y</td>
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<tr>
<td>4.1.18</td>
<td>Absence Records i.e. Some Return To Work Records, OH reports and referrals &amp; sick pay notification</td>
<td>End of Employment + 6 Years</td>
<td>Paper / Electronic</td>
<td>Human Resources (Medical sub file)</td>
<td>Destroy</td>
<td>Limitation Act 1980</td>
<td>Y</td>
</tr>
<tr>
<td>4.1.20</td>
<td>Authorisation and administration of special leave, e.g. compassionate leave, study leave</td>
<td>End of Employment + 6 Years</td>
<td>Paper / Electronic</td>
<td>Payroll / Human Resources</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<tr>
<td>4.1.21</td>
<td>Authorisation and administration of statutory leave entitlements, e.g. parental leave</td>
<td>End of Employment + 6 Years</td>
<td>Paper / Electronic</td>
<td>Human Resources</td>
<td>Destroy</td>
<td>SI 1999 / 3312</td>
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### 5. Records Retention Schedule: Governance and Management

<table>
<thead>
<tr>
<th>Ref.</th>
<th>Record Description</th>
<th>Retention Period</th>
<th>Format</th>
<th>Record Holder</th>
<th>Action at end of Retention Period</th>
<th>Reason for Retention Period</th>
<th>Personal Info?</th>
</tr>
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<tbody>
<tr>
<td>4.1.25</td>
<td>Grievances raised by staff (which do not relate directly to their own contracts of employment), the institution's response, action taken and the outcome</td>
<td>End of Employment + 6 Years</td>
<td>Paper / Electronic</td>
<td>Human Resources</td>
<td>Destroy</td>
<td>Limitation Act 1980</td>
<td>Y</td>
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<tr>
<td>4.1.27</td>
<td>Employee’s remuneration and rewards (e.g. honorariums, contribution awards, long service awards)</td>
<td>End of Employment + 6 Years</td>
<td>Paper / Electronic</td>
<td>Human Resources</td>
<td>Destroy</td>
<td>Limitation Act. Taxes Management Act. SI 1999/584</td>
<td>Y</td>
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<tr>
<td>4.1.28</td>
<td>Employee’s termination of employment by voluntary resignation, redundancy, retirement (including on medical grounds) or dismissal</td>
<td>End of Employment + 6 Years</td>
<td>Paper / Electronic</td>
<td>Human Resources</td>
<td>Destroy</td>
<td>Limitation Act 1980</td>
<td>Y</td>
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## 5. Records Retention Schedule: Governance and Management

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<tr>
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<th>Record Description</th>
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<th>Action at end of Retention Period</th>
<th>Reason for Retention Period</th>
<th>Personal Info?</th>
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<tbody>
<tr>
<td>4.1.29</td>
<td>References provided in confidence in support of an employee's application(s) for employment by another organisation</td>
<td>End of Employment + 6 Years</td>
<td>Paper / Electronic</td>
<td>Human Resources</td>
<td>Destroy</td>
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<td>4.2</td>
<td>Recruitment File</td>
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<td>4.2.2</td>
<td>Recruitment: Enquiries about vacancies and requests for application forms</td>
<td>Current Academic Year + 1 Year</td>
<td>Electronic</td>
<td>Human Resources</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<tr>
<td>4.3</td>
<td>Staff Appraisal, Training and Development</td>
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<tr>
<td>4.3.1</td>
<td>Staff Induction: Attendance by an employee</td>
<td>Completion of Induction + 6 Years</td>
<td>Paper / Electronic</td>
<td>Human Resources / Health &amp; Safety / Organisational Development</td>
<td>Destroy</td>
<td>Business Reasons</td>
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</table>
## 5. Records Retention Schedule: Governance and Management

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<thead>
<tr>
<th>Ref.</th>
<th>Record Description</th>
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<th>Record Holder</th>
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<tr>
<td>4.3.3</td>
<td>PDCR Policy</td>
<td>Superseded + 6 Years</td>
<td>Electronic</td>
<td>Organisational Development</td>
<td>Review</td>
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<td>4.3.4</td>
<td>Staff Training: Policy</td>
<td>Superseded + 6 Years</td>
<td>Electronic</td>
<td>Organisational Development</td>
<td>Review</td>
<td>Business Reasons</td>
<td>N</td>
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<tr>
<td>4.3.5</td>
<td>Staff Training: Meeting Groups (agendas and minutes)</td>
<td>Current Academic Year + 1 Year</td>
<td>Electronic</td>
<td>Organisational Development</td>
<td>Destroy</td>
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<tr>
<td>4.3.6</td>
<td>Staff Training: Course Evaluation Forms</td>
<td>Current Academic Year + 1 Year</td>
<td>Paper</td>
<td>Organisational Development</td>
<td>Destroy</td>
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<tr>
<td>4.3.7</td>
<td>Staff Training: Delegate lists (internal training)</td>
<td>Current Academic Year + 1 Year</td>
<td>Electronic</td>
<td>Organisational Development</td>
<td>Destroy</td>
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<td>4.3.8</td>
<td>Staff Training: Advertising</td>
<td>Current Academic Year + 1 Year</td>
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<td>4.3.9</td>
<td>Staff Training: Delegate Feedback</td>
<td>Current Academic Year + 6 Years</td>
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<td>Destroy</td>
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<tr>
<td>4.3.10</td>
<td>Staff Training: Workforce feedback (anonymised)</td>
<td>Current Academic Year + 6 Years</td>
<td>Electronic</td>
<td>Organisational Development</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<tr>
<td>4.3.11</td>
<td>Staff Training: Development of Courses to meet defined needs</td>
<td>Completion of Programme + 6 Years</td>
<td>Electronic</td>
<td>Organisational Development</td>
<td>Destroy</td>
<td>Business Reasons</td>
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### 4.4 Workforce Planning
### 5. Records Retention Schedule: Governance and Management

<table>
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<th>Ref.</th>
<th>Record Description</th>
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<td>Workforce plan</td>
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<td>4.4.2</td>
<td>Succession Plans</td>
<td>Superseded + 6 Years</td>
<td>Paper / Electronic</td>
<td>Human Resources</td>
<td>Destroy</td>
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<td>4.5</td>
<td><strong>Employee Relations/Rewards</strong></td>
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<td>Staff attitude surveys</td>
<td>Current Academic Year + 6 Years</td>
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<td>Organisational Development</td>
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<td>Staff eNews</td>
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<td>Review</td>
<td>Business Reasons</td>
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<td>4.5.3</td>
<td>Personnel Management Policies &amp; Procedures: Development and establishment</td>
<td>Superseded + 20 Years</td>
<td>Paper / Electronic</td>
<td>Human Resources</td>
<td>Review</td>
<td>Business Reasons</td>
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<td>4.5.4</td>
<td>Trade Unions: Recognition / de-recognition</td>
<td>De-recognition + 20 Years</td>
<td>Paper / Electronic</td>
<td>Human Resources</td>
<td>Review</td>
<td>Limitation Act 1980</td>
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<td>4.5.5</td>
<td>Trade Unions: Agreements</td>
<td>End of Agreement + 20 Years</td>
<td>Paper / Electronic</td>
<td>Human Resources</td>
<td>Review</td>
<td>Limitation Act 1980</td>
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<td>4.5.6</td>
<td>Trade Unions: Routine communications, including minutes of meetings</td>
<td>Current Academic Year + 20 Years</td>
<td>Paper / Electronic</td>
<td>Human Resources</td>
<td>Review for archival purposes</td>
<td>Business Reasons</td>
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<tr>
<td>4.5.7</td>
<td>Trade Unions: Consultations and Negotiations on specific issues</td>
<td>Last Action on Issue + 20 Years</td>
<td>Paper / Electronic</td>
<td>Human Resources</td>
<td>Review for archival purposes</td>
<td>Business Reasons</td>
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<th>Reason for Retention Period</th>
<th>Personal Info?</th>
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<tr>
<td>4.5.8</td>
<td>Development and evaluation of job specifications and job evaluation</td>
<td>Superseded + 6 Years</td>
<td>Paper / Electronic</td>
<td>Human Resources</td>
<td>Review</td>
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<td>Development of the remuneration structure</td>
<td>Current Academic Year + 20 Years</td>
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<td>Review for archival value</td>
<td>Business Reasons</td>
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<tr>
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<td>Pay reviews</td>
<td>Current Academic Year + 20 Years</td>
<td>Electronic</td>
<td>Human Resources</td>
<td>Review for archival value</td>
<td>Business Reasons</td>
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<tr>
<td>4.5.11</td>
<td>Special reward schemes e.g. Exceptional Contribution Awards</td>
<td>End of Scheme + 20 Years</td>
<td>Electronic</td>
<td>Human Resources</td>
<td>Review for archival value</td>
<td>Business Reasons</td>
<td>N</td>
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<tr>
<td>4.5.12</td>
<td>Statistical information about job applicants e.g. ethnicity/gender analysis</td>
<td>Current Academic Year + 20 Years</td>
<td>Electronic</td>
<td>Human Resources / E&amp;D</td>
<td>Destroy</td>
<td>Business Reasons</td>
<td>N</td>
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<tr>
<td>4.5.13</td>
<td>Development of workforce welfare schemes and services e.g. counselling services</td>
<td>Current Academic Year + 6 Years (5 Years for H&amp;S)</td>
<td>Electronic</td>
<td>Human Resources / Health &amp; Safety</td>
<td>Review for archival value</td>
<td>Business Reasons</td>
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#### 4.6 Pensions

<table>
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<th>Record Holder</th>
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<th>Reason for Retention Period</th>
<th>Personal Info?</th>
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<tbody>
<tr>
<td>4.6.1</td>
<td>Relationships with pension schemes to which all or part of its workforce belongs</td>
<td>End of Relationship + 20 Years</td>
<td>Electronic</td>
<td>Human Resources</td>
<td>Review</td>
<td>Business Reasons</td>
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### 5. Records Retention Schedule: Governance and Management

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<th>Reason for Retention Period</th>
<th>Personal Info?</th>
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<tbody>
<tr>
<td>4.6.2</td>
<td>Routine communications with the pension schemes</td>
<td>Current Academic Year + 6 Years</td>
<td>Paper / Electronic</td>
<td>Human Resources</td>
<td>Review</td>
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<td>4.7</td>
<td><strong>DBS Disclosures</strong></td>
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<td>4.7.1</td>
<td>DBS Disclosures (Staff Requests Only)</td>
<td>Current Academic Year + 6 months</td>
<td>Paper / Electronic</td>
<td>Human Resources</td>
<td>Destroy</td>
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<td><strong>Equality and Diversity</strong></td>
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<td>4.9</td>
<td><strong>Contingency Planning</strong></td>
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<tr>
<td>4.9.1</td>
<td>Emergency Planning Review Documents</td>
<td>Superseded + 5 Years</td>
<td>Electronic</td>
<td>Health &amp; Safety</td>
<td>Review</td>
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<td>4.10</td>
<td><strong>Risk Assessment</strong></td>
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<td>4.10.2</td>
<td>Risk Assessment Reports</td>
<td>Superseded + 5 Years</td>
<td>Electronic</td>
<td>Each Department</td>
<td>Review</td>
<td>SI 1999 / 3243</td>
<td>N</td>
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<td>4.10.3</td>
<td>Display Screen Equipment Policy</td>
<td>Superseded + 5 Years</td>
<td>Electronic</td>
<td>Health &amp; Safety</td>
<td>Review</td>
<td>Business Reasons</td>
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## 5. Records Retention Schedule: Governance and Management

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<tbody>
<tr>
<td>4.10.4</td>
<td>Monitoring of Working Environment reports</td>
<td>Current Academic Year + 40 Years</td>
<td>Electronic</td>
<td>Health &amp; Safety</td>
<td>Review</td>
<td>SI 2002 /2675</td>
<td>Y</td>
</tr>
<tr>
<td>4.10.5</td>
<td>Fire Inspection Reports: including Systems and Equipment Assessments</td>
<td>Current Academic Year + 5 Years</td>
<td>Paper / Electronic</td>
<td>Health &amp; Safety</td>
<td>Destroy</td>
<td>Business Reasons</td>
<td>N</td>
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<tr>
<td>4.10.6</td>
<td>First Aid Facilities and Equipment Assessments</td>
<td>Re-assessment + 3 Years</td>
<td>Electronic</td>
<td>Health &amp; Safety</td>
<td>Destroy</td>
<td>1947 c.371, S.I. 1981 / 917</td>
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<td>4.10.7</td>
<td>First Aid Facilities and Equipment Specifications</td>
<td>Superseded + 3 Years</td>
<td>Electronic</td>
<td>Health &amp; Safety</td>
<td>Destroy</td>
<td>1947 c.371, S.I. 1981 / 917</td>
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<td>4.11</td>
<td><strong>Hazardous Substances</strong></td>
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<td>4.11.1</td>
<td>Health Surveillance Reports</td>
<td>Current Academic Year + 40 Years</td>
<td>Paper / Electronic</td>
<td>Health &amp; Safety</td>
<td>Review</td>
<td>COSHH Regulations 1994</td>
<td>Y</td>
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<td>4.11.2</td>
<td>Code of Practice for Handling Hazardous Substances – Lab sheets</td>
<td>Current Academic Year + 40 Years</td>
<td>Paper / Electronic</td>
<td>Each Department</td>
<td>Review</td>
<td>Business Reasons</td>
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<tr>
<td>4.11.3</td>
<td>Personal Exposure Reports</td>
<td>Current Academic Year + 40 Years</td>
<td>Electronic</td>
<td>Health &amp; Safety</td>
<td>Review</td>
<td>Business Reasons</td>
<td>Y</td>
</tr>
<tr>
<td>4.11.4</td>
<td>Air Monitoring: all other cases</td>
<td>Date of Monitoring + 40 Years</td>
<td>Electronic</td>
<td>Health &amp; Safety</td>
<td>Destroy</td>
<td>SI 2002 / 2675, SI 2002 / 2676, SI 2002 / 2677</td>
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### 5. Records Retention Schedule: Governance and Management

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<th>Reason for Retention Period</th>
<th>Personal Info?</th>
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<tbody>
<tr>
<td>4.11.5</td>
<td>Asbestos: Written plans of work for undertaking work with asbestos</td>
<td>Completion of Work + 40 Years</td>
<td>Electronic</td>
<td>Health &amp; Safety</td>
<td>Destroy</td>
<td>SI 2002 / 2675</td>
<td>N</td>
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<tr>
<td>4.11.6</td>
<td>Asbestos: Notifications of work with asbestos to the enforcing authorities</td>
<td>Completion of Work + 40 Years</td>
<td>Electronic</td>
<td>Health &amp; Safety</td>
<td>Destroy</td>
<td>SI 2002 / 2675</td>
<td>N</td>
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<tr>
<td>4.11.7</td>
<td>Asbestos: Examination, testing and repair of plant and equipment provided to control exposure</td>
<td>Date of Assessment + 40 Years</td>
<td>Electronic</td>
<td>Health &amp; Safety</td>
<td>Destroy</td>
<td>SI 2002 / 2675</td>
<td>N</td>
</tr>
<tr>
<td>4.11.8</td>
<td>Asbestos: Action taken to Prevent or Reduce Exposure to Individual Employees working with Asbestos</td>
<td>Date of Monitoring + 40 Years</td>
<td>Electronic</td>
<td>Health &amp; Safety</td>
<td>Destroy</td>
<td>SI 2002 / 2675 Regulation 10</td>
<td>Y</td>
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<tr>
<td>4.11.9</td>
<td>Asbestos: Health Records for Individual Employees working with or exposed to Asbestos</td>
<td>Date of Monitoring + 40 Years</td>
<td>Electronic</td>
<td>Health &amp; Safety</td>
<td>Destroy</td>
<td>SI 2002 / 2675</td>
<td>Y</td>
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<tr>
<td>4.11.10</td>
<td>Asbestos: Assessments to determine the presence of asbestos</td>
<td>Elimination of Risk + 40 Years</td>
<td>Electronic</td>
<td>Health &amp; Safety</td>
<td>Destroy</td>
<td>SI 2002 / 2675</td>
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## 5. Records Retention Schedule: Governance and Management

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<th>Reason for Retention Period</th>
<th>Personal Info?</th>
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<tbody>
<tr>
<td>4.11.11</td>
<td>Asbestos: Conduct and Results of Risk Assessments of Working Environment (where the exposure of employees may exceed the Action level)</td>
<td>Date of Assessment + 40 Years</td>
<td>Electronic</td>
<td>Health &amp; Safety</td>
<td>Destroy</td>
<td>SI 2002 / 2675</td>
<td>N</td>
</tr>
<tr>
<td>4.11.12</td>
<td>Asbestos: Conduct and Results of Risk Assessments of working Environment (all other cases)</td>
<td>Date of Assessment + 40 Years</td>
<td>Electronic</td>
<td>Health &amp; Safety</td>
<td>Destroy</td>
<td>SI 2002 / 2675</td>
<td>N</td>
</tr>
<tr>
<td>4.11.13</td>
<td>Biological Agents: Accidents and Incidents involving Group 3 or Group 4 biological agents</td>
<td>Current Academic Year + 40 Years</td>
<td>Electronic</td>
<td>Health &amp; Safety</td>
<td>Destroy</td>
<td>SI 2002 / 2677</td>
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<tr>
<td>4.11.14</td>
<td>COSHH Data Sheets</td>
<td>Current Academic Year + 5 Years</td>
<td>Electronic</td>
<td>Health &amp; Safety</td>
<td>Review</td>
<td>SI 2002 / 2677</td>
<td>N</td>
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<tr>
<td>4.11.15</td>
<td>COSHH: Examination, testing and repair of plant and equipment provided to control exposure</td>
<td>Current Academic Year + 40 Years</td>
<td>Electronic</td>
<td>Health &amp; Safety</td>
<td>Destroy</td>
<td>SI 2002 / 2677</td>
<td>N</td>
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<tr>
<td>4.11.16</td>
<td>COSHH: Details of Substances present and or in use</td>
<td>Current Academic Year + 40 Years</td>
<td>Electronic</td>
<td>Health &amp; Safety</td>
<td>Destroy</td>
<td>SI 2002 / 2677</td>
<td>N</td>
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<tr>
<td>4.11.17</td>
<td>COSHH: Conduct and Results of Risk Assessments of Working Environment</td>
<td>Current Academic Year + 5 Years</td>
<td>Electronic</td>
<td>Health &amp; Safety</td>
<td>Destroy</td>
<td>SI 2002 / 2677</td>
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## 5. Records Retention Schedule: Governance and Management

<table>
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<tr>
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<th>Reason for Retention Period</th>
<th>Personal Info?</th>
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</thead>
<tbody>
<tr>
<td>4.11.18</td>
<td>COSHH: Conduct and Results of monitoring of exposure of employees (general exposure)</td>
<td>Current Academic Year + 40 Years</td>
<td>Electronic</td>
<td>Health &amp; Safety</td>
<td>Destroy</td>
<td>SI 2002 / 2677</td>
<td>N</td>
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<tr>
<td>4.11.19</td>
<td>COSHH: Conduct and Results of monitoring of exposure of employees (identifiable individual employees)</td>
<td>Date of Monitoring + 40 Years</td>
<td>Electronic</td>
<td>Health &amp; Safety</td>
<td>Destroy</td>
<td>SI 2002 / 2677</td>
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<tr>
<td>4.11.20</td>
<td>Lead: Examination, testing and repair of plant and equipment provided to control exposure</td>
<td>Date of Examination + 40 Years</td>
<td>Electronic</td>
<td>Health &amp; Safety</td>
<td>Destroy</td>
<td>SI 2002 / 2676</td>
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<tr>
<td>4.11.21</td>
<td>Lead: Conduct and Results of Risk Assessments of Working Environment</td>
<td>Elimination of Risk + 40 Years</td>
<td>Electronic</td>
<td>Health &amp; Safety</td>
<td>Destroy</td>
<td>SI 2002 / 2676</td>
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### 4.12 Accident Monitoring

<table>
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<th>Record Holder</th>
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<th>Reason for Retention Period</th>
<th>Personal Info?</th>
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</thead>
<tbody>
<tr>
<td>4.12.1</td>
<td>Accident Reports (single sheets)</td>
<td>Current Academic Year + 5 Years</td>
<td>Paper</td>
<td>Health &amp; Safety</td>
<td>Review</td>
<td>Business Reasons</td>
<td>Y</td>
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<tr>
<td>4.12.2</td>
<td>Investigation of accidents reports</td>
<td>Current Academic Year + 5 Years</td>
<td>Paper</td>
<td>Health &amp; Safety</td>
<td>Review</td>
<td>Limitation Act 1980 + Case Law</td>
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### 4.13 Health Records

<table>
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<tr>
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<th>Record Holder</th>
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<th>Personal Info?</th>
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<tbody>
<tr>
<td>4.13.1</td>
<td>Health Records</td>
<td>Current Academic Year + 40 Years</td>
<td>Paper</td>
<td>Occupational Health</td>
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<td>Business Reasons</td>
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## 5. Records Retention Schedule: Governance and Management

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<th>Personal Info?</th>
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<tbody>
<tr>
<td>4.13.2</td>
<td>Health Records (termination connected to health – including stress)</td>
<td>End of Employment + 5 Years</td>
<td>Paper</td>
<td>Occupational Health</td>
<td>Destroy</td>
<td>Litigation period for PI claims</td>
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<tr>
<td>4.13.3</td>
<td>Medical records relating to COSHHR</td>
<td>Current Academic Year + 40 Years</td>
<td>Paper</td>
<td>Occupational Health</td>
<td>Review</td>
<td>COSSHR 1999</td>
<td>Y</td>
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<tr>
<td>4.13.5</td>
<td>Asbestos : Health surveillance records of identifiable individual employees who have been exposed</td>
<td>Current Academic Year + 40 Years</td>
<td>Electronic</td>
<td>Health &amp; Safety</td>
<td>Destroy</td>
<td>SI 2002 / 2675</td>
<td>Y</td>
</tr>
<tr>
<td>4.13.6</td>
<td>Asbestos: Certificates of medical examination of identifiable individual employees who have been exposed</td>
<td>Date of Last Entry on Record + 40 Years</td>
<td>Electronic</td>
<td>Health &amp; Safety</td>
<td>Destroy</td>
<td>SI 2002 / 2675</td>
<td>Y</td>
</tr>
<tr>
<td>4.13.7</td>
<td>Biological Agents: List of employees exposed to Group 3 or Group 4</td>
<td>Current Academic Year + 40 Years</td>
<td>Electronic</td>
<td>Health &amp; Safety</td>
<td>Destroy</td>
<td>SI 2002 / 2677</td>
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<tr>
<td>4.13.8</td>
<td>COSHH: Health surveillance records of identifiable individual employees who have been exposed</td>
<td>Date of Last Entry on Record + 40 Years</td>
<td>Electronic</td>
<td>Health &amp; Safety</td>
<td>Destroy</td>
<td>SI 2002 / 2677</td>
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# 5. Records Retention Schedule: Governance and Management

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<tr>
<td>4.13.9</td>
<td>Lead: Health surveillance records of identifiable individual employees who have been exposed</td>
<td>Date of Last Entry on Record + 40 Years</td>
<td>Electronic</td>
<td>Health &amp; Safety</td>
<td>Destroy</td>
<td>SI 2002 / 2676</td>
<td>Y</td>
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<tr>
<td>4.13.10</td>
<td>General Health Surveillance: Pre-employment health screening</td>
<td>End of Employment + 40 Years</td>
<td>Electronic</td>
<td>Health &amp; Safety</td>
<td>Destroy</td>
<td>Limitation Act 1980</td>
<td>Y</td>
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<tr>
<td>4.13.11</td>
<td>General Health Surveillance: Identifiable individual employees, other than those specified</td>
<td>Date of Last Entry on Record + 40 Years</td>
<td>Electronic</td>
<td>Health &amp; Safety</td>
<td>Destroy</td>
<td>Limitation Act 1980, SI 1999/3242</td>
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## 4.14 Health and Safety General

<table>
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<th>Reason for Retention Period</th>
<th>Personal Info?</th>
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<tr>
<td>4.14.2</td>
<td>Safety Audit Reports</td>
<td>Current Academic Year + 5 Years</td>
<td>Electronic</td>
<td>Health &amp; Safety</td>
<td>Review</td>
<td>Health &amp; Safety at Work Act 1974</td>
<td>Y</td>
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<tr>
<td>4.14.3</td>
<td>Safety Committee/Panels (agenda/minutes)</td>
<td>Current Academic Year + 5 Years</td>
<td>Electronic</td>
<td>Health &amp; Safety</td>
<td>Review</td>
<td>Business Reasons</td>
<td>Y</td>
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<tr>
<td>4.14.4</td>
<td>Delegate Lists for H &amp; S Training</td>
<td>Current Academic Year + 5 Years</td>
<td>Electronic</td>
<td>Health &amp; Safety</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<tr>
<td>4.14.5</td>
<td>Health and safety management strategy</td>
<td>Current Academic Year + 5 Years</td>
<td>Electronic</td>
<td>Health &amp; Safety</td>
<td>Destroy</td>
<td>Health &amp; Safety at Work Act 1974</td>
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## 5. Records Retention Schedule: Governance and Management

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<th>Personal Info?</th>
</tr>
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<tbody>
<tr>
<td>4.14.6</td>
<td>Trade Union Safety Reps: Appointments</td>
<td>Current Academic Year + 5 Years</td>
<td>Electronic</td>
<td>Health &amp; Safety</td>
<td>Destroy</td>
<td>SI 1977 / 500</td>
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<tr>
<td>4.14.7</td>
<td>Trade Union Safety Reps: Provision of time off, and other facilities and assistance</td>
<td>Current Academic Year + 5 Years</td>
<td>Electronic</td>
<td>Health &amp; Safety</td>
<td>Destroy</td>
<td>SI 1977 / 500</td>
<td>N</td>
</tr>
<tr>
<td>4.14.8</td>
<td>Trade Union Safety Reps: Consultations and other communications</td>
<td>Current Academic Year + 5 Years</td>
<td>Electronic</td>
<td>Health &amp; Safety</td>
<td>Destroy</td>
<td>SI 1977 / 500</td>
<td>N</td>
</tr>
<tr>
<td>4.14.9</td>
<td>Trade Union Safety Committees: Formation of safety committee including its objectives, role, functions, composition and administration</td>
<td>Current Academic Year + 5 Years</td>
<td>Electronic</td>
<td>Health &amp; Safety</td>
<td>Destroy</td>
<td>SI 1977 / 500</td>
<td>N</td>
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<tr>
<td>4.14.10</td>
<td>Trade Union Safety Committees: Election of members</td>
<td>Current Academic Year + 5 Years</td>
<td>Electronic</td>
<td>Health &amp; Safety</td>
<td>Destroy</td>
<td>SI 1977 / 500</td>
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### 5. Records Retention Schedule: Governance and Management

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<th>Record Holder</th>
<th>Action at end of Retention Period</th>
<th>Reason for Retention Period</th>
<th>Personal Info?</th>
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<tbody>
<tr>
<td>4.14.13</td>
<td>Non-trade union Safety Reps: Consultations and other communications</td>
<td>Current Academic Year + 5 Years</td>
<td>Electronic</td>
<td>Health &amp; Safety</td>
<td>Destroy</td>
<td>SI 1996 / 1513</td>
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<tr>
<td>4.14.15</td>
<td>Non-trade union Safety Reps: Provision of time off, and other facilities and assistance</td>
<td>Current Academic Year + 5 Years</td>
<td>Electronic</td>
<td>Health &amp; Safety</td>
<td>Destroy</td>
<td>SI 1996 / 1513</td>
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</table>
## 5. Records Retention Schedule: Governance and Management

### In Governance & Management:
Governance and Legal / Internal Audit / Student Planning

<table>
<thead>
<tr>
<th>Ref.</th>
<th>Record Description</th>
<th>Retention Period</th>
<th>Format</th>
<th>Record Holder</th>
<th>Action at end of Retention Period</th>
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<td><strong>Governance and Legal</strong></td>
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<tr>
<td>5.1.1</td>
<td>Incorporation/Formation Documents, including the Instrument &amp; Articles of Government, documents relating to any changes to the University's name or status, and records confirming degree-awarding powers</td>
<td>Permanent</td>
<td>Paper / Electronic</td>
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<td>5.1.2</td>
<td>Terms of Reference for supporting Committees of the Board of Governors</td>
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<td>Governance and Legal Services</td>
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<td>5.1.3</td>
<td>Register of Seals</td>
<td>Permanent</td>
<td>Paper / Electronic</td>
<td>Governance and Legal Services</td>
<td>Business Reasons</td>
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<td>5.1.4</td>
<td>Armorial Ensigns (Arms, Crest &amp; Supporters)</td>
<td>Permanent</td>
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<td>Governance and Legal Services</td>
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<td>5.1.5</td>
<td>Minutes and Meeting Papers: Board of Governors and supporting Committees (Audit, Estates, Finance, Membership Nominations, Remuneration and Employment Policy or equivalent)</td>
<td>Permanent</td>
<td>Paper / Electronic</td>
<td>Governance and Legal Services</td>
<td>Historical and Business Reasons</td>
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**5. Records Retention Schedule: Governance and Management**

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<th>Ref.</th>
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<th>Record Holder</th>
<th>Action at end of Retention Period</th>
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<th>Personal Info?</th>
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<tbody>
<tr>
<td>5.1.6</td>
<td>Minutes and Meeting Papers: NTU Development Board</td>
<td>Permanent</td>
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<td>Governance and Legal Services</td>
<td>Destroy</td>
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<td>5.1.7</td>
<td>Reviews: effectiveness and performance of the Board of Governors and its supporting Committees</td>
<td>Completion of 2 Subsequent Reviews</td>
<td>Paper / Electronic</td>
<td>Governance and Legal Services</td>
<td>Destroy</td>
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<td>5.1.8</td>
<td>Academic Board: Minutes and Meeting Papers</td>
<td>Permanent</td>
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<td>Historical and Business Reasons</td>
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<td>5.1.9</td>
<td>University Executive Team Minutes and Meeting Papers</td>
<td>Current Academic Year + 5 Years</td>
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<td>5.1.10</td>
<td>Register of Interests</td>
<td>Current Academic Year + 9 Years</td>
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<td>5.1.11</td>
<td>Central Risk Management Register</td>
<td>Current Academic Year + 5 Years</td>
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<td>Strategic Planning and Change</td>
<td>Destroy</td>
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<tr>
<td>5.1.12</td>
<td>Strategic/Corporate Plan</td>
<td>Permanent</td>
<td>Electronic</td>
<td>Strategic Planning and Change</td>
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<td>5.1.13</td>
<td>Mission Statement</td>
<td>Permanent</td>
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<td>Directorate</td>
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<td>OFS Funded Projects: Signed documents</td>
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<td>Paper</td>
<td>Directorate</td>
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<td>5.1.15</td>
<td>Policy and Procedure Documents</td>
<td>Permanent</td>
<td>Electronic</td>
<td>Office of Origin</td>
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<td>5.1.16</td>
<td>Public Interest Disclosure Act 1998 Records: Including the investigation, determination and resolution of an allegation made by a member of staff</td>
<td>End of Case + 6 Years</td>
<td>Paper / Electronic</td>
<td>Internal Audit</td>
<td>Destroy</td>
<td>Limitation Act 1980</td>
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</table>
## 5. Records Retention Schedule: Governance and Management

<table>
<thead>
<tr>
<th>Ref.</th>
<th>Record Description</th>
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<th>Action at end of Retention Period</th>
<th>Reason for Retention Period</th>
<th>Personal Info?</th>
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<tr>
<td>5.1.18</td>
<td>Deeds relating to Preservation of Asset Base at Brackenhurst College</td>
<td>Permanent</td>
<td>Paper</td>
<td>Governance and Legal Services</td>
<td>Business Reasons</td>
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<td>5.1.19</td>
<td>Monitoring and control of the storage of records</td>
<td>Current Academic Year + 1 Year</td>
<td>Paper / Electronic</td>
<td>Originating Department</td>
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<td>5.1.20</td>
<td>Records documenting the movement of records from / to storage</td>
<td>Return of Records + 1 Year</td>
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<td>Originating Department</td>
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<td>Business Reasons</td>
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<td>5.1.21</td>
<td>Trade Mark Certificates</td>
<td>Permanent</td>
<td>Paper</td>
<td>Governance and Legal Services</td>
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<td>5.1.22</td>
<td>Incorporation Documents for Subsidiary Companies</td>
<td>Permanent</td>
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<td>Governance and Legal Services</td>
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<td>5.1.23</td>
<td>Certificates held in respect of NTU shares in other companies (subsidiaries)</td>
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<td>Paper</td>
<td>Finance</td>
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<td>5.1.24</td>
<td>Contractual Documentation including MOUs, Contracts, Deeds, Licenses</td>
<td>End of Contract + 6 Years (+12 Years for Deeds)</td>
<td>Paper / Electronic</td>
<td>Originating Department</td>
<td>Review</td>
<td>Limitation Act 1980</td>
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<td>5.1.25</td>
<td>Freedom of Information Requests</td>
<td>Current Academic Year + 6 Years</td>
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<td>5.1.26</td>
<td>Data Protection Subject Access Request</td>
<td>Current Academic Year + 6 Years</td>
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<td>Destroy</td>
<td>Business Reasons</td>
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## 5. Records Retention Schedule: Governance and Management

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<tr>
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<th>Reason for Retention Period</th>
<th>Personal Info?</th>
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<tbody>
<tr>
<td>5.1.27</td>
<td>Data Controller Records: Notifications to the Office of the Information Commissioner</td>
<td>Permanent</td>
<td>Paper / Electronic</td>
<td>Governance and Legal Services</td>
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<td>5.1.28</td>
<td>Final versions of Records Retention Schedules</td>
<td>Permanent</td>
<td>Paper / Electronic</td>
<td>Governance and Legal Services</td>
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<td>5.1.29</td>
<td>Reviews: individual records for on-going retention</td>
<td>Life of Records + 6 Years</td>
<td>Paper / Electronic</td>
<td>Originating Department</td>
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<td>Business Reasons</td>
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<td>5.2</td>
<td>Internal Audit</td>
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<td>5.2.1</td>
<td>Internal Audit Reports</td>
<td>Permanent</td>
<td>Paper / Electronic</td>
<td>Internal Audit</td>
<td>Business Reasons</td>
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<td>5.2.2</td>
<td>Supporting documentation for reports</td>
<td>Permanent</td>
<td>Paper / Electronic</td>
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<td>5.2.3</td>
<td>Investigations (Fraud Response Group) Formal</td>
<td>Permanent</td>
<td>Paper / Electronic</td>
<td>Internal Audit</td>
<td>Business Reasons</td>
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<td>5.3</td>
<td>Strategic Planning and Change</td>
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<td>5.3.1</td>
<td>Student Data: Summaries and Analyses of enrolled students numbers</td>
<td>Current Academic Year + 3 Years</td>
<td>Electronic</td>
<td>Strategic Planning and Change</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<tr>
<td>5.3.2</td>
<td>Student Data: Analysis of Students Numbers and Course Statistics</td>
<td>Current Academic Year + 3 Years</td>
<td>Electronic</td>
<td>Strategic Planning and Change</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<tr>
<td>5.3.3</td>
<td>Student Data: Analyses of data from individual students' records</td>
<td>REF Results + 1 Year</td>
<td>Electronic</td>
<td>Strategic Planning and Change</td>
<td>Destroy</td>
<td>Business Reasons</td>
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</table>
## 5. Records Retention Schedule: Governance and Management

<table>
<thead>
<tr>
<th>Ref.</th>
<th>Record Description</th>
<th>Retention Period</th>
<th>Format</th>
<th>Record Holder</th>
<th>Action at end of Retention Period</th>
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<tr>
<td>5.3.4</td>
<td>Student Data: Ad hoc analyses of data from individual students' records</td>
<td>Last Action on Request + 1 Year</td>
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<td>Strategic Planning and Change</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<td>5.3.5</td>
<td>Student Data: HESA, HESIS, KIS returns</td>
<td>Current Academic Year + 3 Years</td>
<td>Electronic</td>
<td>Strategic Planning and Change</td>
<td>Destroy</td>
<td>Business Reason</td>
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<td>5.3.6</td>
<td>HESA finance return</td>
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<td>Electronic</td>
<td>Strategic Planning and Change</td>
<td>Business Reasons</td>
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### 6. Records Retention Schedule: Research and Academic Entrepreneurship

#### In Research and Academic Entrepreneurship:
- Patent Management / Hive Agreements / Research Funding / European / Regional Development Projects / Research Sponsors / Research General

<table>
<thead>
<tr>
<th>Ref.</th>
<th>Record Description</th>
<th>Retention Period</th>
<th>Format</th>
<th>Record Holder</th>
<th>Action at end of Retention Period</th>
<th>Reason for Retention Period</th>
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<td>6.1</td>
<td>Patent Management</td>
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<tr>
<td>6.1.1</td>
<td>Identification of new patents and liaison with specialists regarding applications for patents</td>
<td>Current Academic Year + 5 Years</td>
<td>Paper / Electronic</td>
<td>Governance and Legal Services</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<tr>
<td>6.1.2</td>
<td>Original patent documents</td>
<td>Life of Patent</td>
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<td>Business Reasons</td>
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<td>6.2</td>
<td>Hive Agreements</td>
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<td>6.2.1</td>
<td>Formation and management of Hive partnerships</td>
<td>End of Agreement + 6 Years</td>
<td>Paper / Electronic</td>
<td>The Hive</td>
<td>Destroy</td>
<td>Limitation Act 1980</td>
<td>N</td>
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<tr>
<td>6.2.2</td>
<td>Hive Licence &amp; Royalty Agreements</td>
<td>End of Agreement + 6 Years</td>
<td>Paper</td>
<td>The Hive</td>
<td>Destroy</td>
<td>Limitation Act 1980</td>
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<tr>
<td>6.2.3</td>
<td>Hive Shareholder Agreements</td>
<td>End of Agreement + 6 Years</td>
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<td>The Hive</td>
<td>Destroy</td>
<td>Limitation Act 1980</td>
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<tr>
<td>6.2.4</td>
<td>Hive Applications and Headstart &amp; SmarTrak Participation Agreements</td>
<td>End of Agreement + 6 Years</td>
<td>Paper / Electronic</td>
<td>The Hive</td>
<td>Destroy</td>
<td>Limitation Act 1980</td>
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<tr>
<td>6.3</td>
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<tr>
<td>6.3.1</td>
<td>Formation and management of funding for research</td>
<td>End of Agreement + 6 Years</td>
<td>Paper / Electronic</td>
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<td>Limitations Act 1980</td>
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<tr>
<td>6.4.1</td>
<td>ESF/ERDF applications and relevant records</td>
<td>End of Contract / Project + 15 Years</td>
<td>Paper / Electronic</td>
<td>The Hive / College / Professional Services Dept.</td>
<td>Review</td>
<td>ESF/ERDF Requirements</td>
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### 6. Records Retention Schedule: Research and Academic Entrepreneurship

<table>
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<th>Ref.</th>
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<th>Action at end of Retention Period</th>
<th>Reason for Retention Period</th>
<th>Personal Info?</th>
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<tbody>
<tr>
<td>6.4.2</td>
<td>ESF/ERDF beneficiaries personal details</td>
<td>End of Contract / Project + 15 Years</td>
<td>Paper / Electronic</td>
<td>The Hive / College / Professional Services Dept.</td>
<td>Review</td>
<td>ESF/ERDF Requirements</td>
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<tr>
<td>6.4.3</td>
<td>ESF/ERDF financial records including final claim</td>
<td>End of Contract / Project + 15 Years</td>
<td>Paper / Electronic</td>
<td>The Hive / College / Professional Services Dept.</td>
<td>Review</td>
<td>ESF/ERDF Requirements</td>
<td>Y</td>
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<tr>
<td>6.4.4</td>
<td>Seedcorn Funding</td>
<td>End of Contract / Project + 15 Years</td>
<td>Paper / Electronic</td>
<td>Professional Services Dept.</td>
<td>Review</td>
<td>HEIF/QR Requirements</td>
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#### 6.5 Regional Development Projects

<table>
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<th>Ref.</th>
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<th>Record Holder</th>
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<th>Reason for Retention Period</th>
<th>Personal Info?</th>
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<tbody>
<tr>
<td>6.5.1</td>
<td>GOEM and City /County Council funded projects and relevant paperwork</td>
<td>Current Academic Year + 10 Years</td>
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<td>The Hive</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<tr>
<td>6.5.2</td>
<td>OFS funded projects/bids incl. UnLtd and other similar providers</td>
<td>Current Academic Year + 10 Years</td>
<td>Paper / Electronic</td>
<td>The Hive</td>
<td>Destroy</td>
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#### 6.6 Research Sponsors

<table>
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<tr>
<th>Ref.</th>
<th>Record Description</th>
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<th>Reason for Retention Period</th>
<th>Personal Info?</th>
</tr>
</thead>
<tbody>
<tr>
<td>6.6.1</td>
<td>Research Sponsors: Liaisons and Monitoring of Sponsors Research Policies, and Promotion of NTU's Capabilities</td>
<td>Current Academic Year + 5 Years</td>
<td>Paper / Electronic</td>
<td>Research Office</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<tr>
<td>6.6.2</td>
<td>Research Sponsors: Identification and Exploration of new research opportunities which lead to research projects</td>
<td>End of Project</td>
<td>Paper / Electronic</td>
<td>Research Office</td>
<td>Destroy</td>
<td>Business Reasons</td>
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### 6. Records Retention Schedule: Research and Academic Entrepreneurship

<table>
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<tr>
<th>Ref.</th>
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<th>Personal Info?</th>
</tr>
</thead>
<tbody>
<tr>
<td>6.6.3</td>
<td>Research Sponsors: Identification and Exploration of new research opportunities which do not lead to research projects</td>
<td>Current Academic Year + 5 Years</td>
<td>Paper / Electronic</td>
<td>Research Office</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<td>6.7</td>
<td><strong>Research General</strong></td>
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<tr>
<td>6.7.1</td>
<td>Research Strategy: Formulation of plans for implementation</td>
<td>Superseded + 10 Years</td>
<td>Paper / Electronic</td>
<td>Research Office</td>
<td>Destroy</td>
<td>Business Reasons</td>
<td>N</td>
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<tr>
<td>6.7.2</td>
<td>Research Strategy: Performance Reports</td>
<td>Current Academic Year + 10 Years</td>
<td>Paper / Electronic</td>
<td>Research Office</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<tr>
<td>6.7.3</td>
<td>Research Policies and Procedure: Development and Establishment</td>
<td>Superseded + 10 Years</td>
<td>Paper / Electronic</td>
<td>Research Office</td>
<td>Destroy</td>
<td>Business Reasons</td>
<td>N</td>
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<tr>
<td>6.7.5</td>
<td>Quality Assurance: Formal Internal Reviews and Audits of Standards, Responses and Results</td>
<td>Current Academic Year + 5 Years</td>
<td>Paper / Electronic</td>
<td>Research Office and NTU Doctoral School</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<tr>
<td>6.7.6</td>
<td>Quality Assurance: Formal External Reviews and Audits of Standards, Responses and Results</td>
<td>Current Academic Year + 5 Years</td>
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<tr>
<td>6.7.7</td>
<td>Quality Assurance: Reports of routine internal reviews of research programmes</td>
<td>Current Academic Year + 5 Years</td>
<td>Paper / Electronic</td>
<td>NTU Doctoral School</td>
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<td>Business Reasons</td>
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### 6. Records Retention Schedule: Research and Academic Entrepreneurship

<table>
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<tr>
<th>Ref.</th>
<th>Record Description</th>
<th>Retention Period</th>
<th>Format</th>
<th>Record Holder</th>
<th>Action at end of Retention Period</th>
<th>Reason for Retention Period</th>
<th>Personal Info?</th>
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<tr>
<td>6.7.8</td>
<td>Quality Assurance: Formal Independent Reviews, Conduct, Results and Responses to the results</td>
<td>Current Academic Year + 5 Years</td>
<td>Paper / Electronic</td>
<td>NTU Doctoral School</td>
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</tr>
<tr>
<td>6.7.9</td>
<td>Quality Assurance: Formal Assessments of work undertaken by research students, Conduct, Responses and Results</td>
<td>End of Relationship with Student + 6 Years</td>
<td>Paper / Electronic</td>
<td>NTU Doctoral School</td>
<td>Destroy</td>
<td>Limitation Act 1980</td>
<td>N</td>
</tr>
<tr>
<td>6.7.10</td>
<td>Projects: Design and Preparation of Formal Proposals which lead to research projects</td>
<td>End of Project + 5 Years</td>
<td>Paper / Electronic</td>
<td>NTU Doctoral School</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<tr>
<td>6.7.11</td>
<td>Projects: Design and Preparation of Formal Proposals which do not lead to research projects</td>
<td>Current Academic Year + 5 Years</td>
<td>Paper / Electronic</td>
<td>NTU Doctoral School</td>
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<td>6.7.12</td>
<td>Projects: Final reports of all research projects</td>
<td>Current Academic Year + 5 Years</td>
<td>Paper / Electronic</td>
<td>NTU Doctoral School</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<tr>
<td>6.7.13</td>
<td>Projects: Management of internally-funded projects</td>
<td>End of Project + 3 Years</td>
<td>Paper / Electronic</td>
<td>NTU Doctoral School</td>
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<tr>
<td>6.7.15</td>
<td>Projects: Appointment of Supervisors</td>
<td>End of Contract + 1 Year</td>
<td>Paper / Electronic</td>
<td>NTU Doctoral School</td>
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## 6. Records Retention Schedule: Research and Academic Entrepreneurship

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<tr>
<td>6.7.16</td>
<td>Projects: Academic Advice and Guidance to Individual Students on the selection of research subjects and on the progress and standard of their work</td>
<td>End of Relationship with Student + 6 Years</td>
<td>Paper / Electronic</td>
<td>NTU Doctoral School</td>
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<tr>
<td>6.7.17</td>
<td>Projects: Development and delivery of training in research-related skills</td>
<td>Current Academic Year + 5 Years</td>
<td>Paper / Electronic</td>
<td>NTU Doctoral School</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<td>6.7.18</td>
<td>Results: Announcements made other than in publications or through the media</td>
<td>Current Academic Year + 1 Year</td>
<td>Electronic</td>
<td>NTU Doctoral School</td>
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<td>Business Reasons</td>
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<tr>
<td>6.7.19</td>
<td>Results: Preparation of publications, audio-visual presentations, demonstrations or other means of disseminating research results</td>
<td>Current Academic Year + 1 Year</td>
<td>Paper / Electronic</td>
<td>NTU Doctoral School</td>
<td>Destroy</td>
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<td>6.7.20</td>
<td>Results: Final versions of publications, presentations etc.</td>
<td>Current Academic Year + 3 Years</td>
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<td>NTU Doctoral School</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<tr>
<td>6.7.21</td>
<td>Results: Archived research data</td>
<td>Date of deposit + 10 years or according to Funder Policy (if longer)</td>
<td>Paper / Electronic</td>
<td>Research Office and NTU Doctoral School</td>
<td>Review</td>
<td>Funder Policy / Business Reasons</td>
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<td>6.7.22</td>
<td>Results: Non-archived research data</td>
<td>End of Project + 1 Year</td>
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<td>Research Office and NTU Doctoral School</td>
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### 6. Records Retention Schedule: Research and Academic Entrepreneurship

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<tr>
<td>6.7.23</td>
<td>Ethical Review Committee (Humans): Minutes of the Meetings</td>
<td>Current Academic Year + 15 Years</td>
<td>Electronic</td>
<td>Research Office</td>
<td>Review</td>
<td>Business Reasons</td>
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<tr>
<td>6.7.24</td>
<td>Ethical Review Committee (Humans): Applications, Health &amp; Safety Risk Assessment, Data Protection Consents, Amended Applications</td>
<td>Current Academic Year + 15 Years</td>
<td>Electronic</td>
<td>Research Office</td>
<td>Review</td>
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<tr>
<td>6.7.25</td>
<td>Ethical Review Committee (Humans): Outcome Letters and Correspondence</td>
<td>Current Academic Year + 15 Years</td>
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<td>Research Office</td>
<td>Review</td>
<td>Business Reasons</td>
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<tr>
<td>6.7.26</td>
<td>Ethical Review Committee (Humans): Approvals including Chairs Action</td>
<td>Current Academic Year + 15 Years</td>
<td>Electronic</td>
<td>Research Office</td>
<td>Review</td>
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### 7. Records Retention Schedule: Estates

**In Estates:**  
Land / Plant and Equipment Maintenance / General / Internal Services / Student Accommodation / Security / Environmental

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<thead>
<tr>
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<th>Action at end of Retention Period</th>
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<tbody>
<tr>
<td>7.1</td>
<td>Land</td>
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<td>7.1.1</td>
<td>Title Deeds</td>
<td>Until Sold or Transferred</td>
<td>Paper / Electronic</td>
<td>Estates</td>
<td>Sell or Transfer</td>
<td>Limitation Act 1980</td>
<td>N</td>
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<tr>
<td>7.1.2</td>
<td>Facilities related Contracts</td>
<td>End of Contract + 6 Years</td>
<td>Paper / Electronic</td>
<td>Estates</td>
<td>Destroy</td>
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<tr>
<td>7.1.3</td>
<td>Planning Applications</td>
<td>Until Sold or Transferred</td>
<td>Electronic</td>
<td>Estates</td>
<td>Sell or Transfer</td>
<td>Business Reasons</td>
<td>N</td>
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<tr>
<td>7.1.4</td>
<td>Building plans/drawings: Sketches, Concept Drawings, Office Layouts</td>
<td>Disposal of Property</td>
<td>Paper / Electronic</td>
<td>Estates</td>
<td>Destroy</td>
<td>Business Reasons</td>
<td>N</td>
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<tr>
<td>7.1.5</td>
<td>Technical Drawings: Electrical, Mechanical &amp; Ventilation plans</td>
<td>Superseded + 5 Years</td>
<td>Paper / Electronic</td>
<td>Estates</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<tr>
<td>7.1.6</td>
<td>Licences – liquor</td>
<td>Superseded + 1 Year</td>
<td>Paper</td>
<td>Campus Services</td>
<td>Destroy</td>
<td>Business Reasons</td>
<td>N</td>
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<tr>
<td>7.1.7</td>
<td>Acquisition or Use of properties by lease or rental</td>
<td>End of Agreement + 6 Years</td>
<td>Paper / Electronic</td>
<td>Estates</td>
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<td>Limitation Act 1980</td>
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<td>7.1.8</td>
<td>Development of properties</td>
<td>Until Sold or Transferred</td>
<td>Paper / Electronic</td>
<td>Estates</td>
<td>Sell or Transfer</td>
<td>Limitation Act 1980</td>
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<td>7.1.9</td>
<td>Restoration of contaminated land</td>
<td>Until Sold or Transferred</td>
<td>Paper / Electronic</td>
<td>Estates</td>
<td>Sell or Transfer</td>
<td>Limitation Act 1980</td>
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<tr>
<td>7.1.10</td>
<td>Major maintenance works on properties</td>
<td>Until Sold or Transferred</td>
<td>Paper / Electronic</td>
<td>Estates</td>
<td>Sell or Transfer</td>
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<td>7.1.11</td>
<td>Disposal of properties</td>
<td>Disposal of Property + 6 Years</td>
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<td>Estates</td>
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<td>Limitation Act 1980</td>
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# 7. Records Retention Schedule: Estates

<table>
<thead>
<tr>
<th>Ref.</th>
<th>Record Description</th>
<th>Retention Period</th>
<th>Format</th>
<th>Record Owner</th>
<th>Action at end of Retention Period</th>
<th>Reason for Retention Period</th>
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<tbody>
<tr>
<td>7.2</td>
<td><strong>Plant and Equipment Maintenance</strong></td>
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<td>7.2.1</td>
<td>Maintenance Repair Line – Job Sheets</td>
<td>Current Academic Year + 1 Year</td>
<td>Paper / Electronic</td>
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<td>Business Reasons</td>
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<td>7.2.2</td>
<td>Maintenance Schedules</td>
<td>Current Academic Year + 2 Years</td>
<td>Electronic</td>
<td>Estates</td>
<td>Destroy</td>
<td>Health &amp; Safety &amp; Work Act 1974, SI 1999 / 3242</td>
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<tr>
<td>7.2.3</td>
<td>Inspection Certificates</td>
<td>Current Academic Year + 6 Years</td>
<td>Paper / Electronic</td>
<td>Estates</td>
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<td>Limitation Act 1980</td>
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<tr>
<td>7.2.4</td>
<td>Repair Reports</td>
<td>Life of Plant + 6 Years</td>
<td>Paper / Electronic</td>
<td>Estates</td>
<td>Destroy</td>
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<tr>
<td>7.2.5</td>
<td>Portable Appliance Test Records</td>
<td>Current Academic Year + 5 Years</td>
<td>Paper</td>
<td>Estates</td>
<td>Review</td>
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<td>7.3</td>
<td><strong>General</strong></td>
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<td>7.3.1</td>
<td>Permits for Work (General Work)</td>
<td>Completion of Work + 3 Years</td>
<td>Paper</td>
<td>Estates</td>
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<td>7.3.2</td>
<td>Permits for Work (High Risk Work)</td>
<td>Completion of Work + 15 Years</td>
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<td>7.3.3</td>
<td>Transport Survey Returns</td>
<td>Current Academic Year + 4 Years</td>
<td>Electronic</td>
<td>Estates</td>
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<td>Business Reasons</td>
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<td>7.3.4</td>
<td>Car Park Application Forms</td>
<td>Current Academic Year + 6 Years</td>
<td>Paper / Electronic</td>
<td>Campus Services</td>
<td>Destroy</td>
<td>Business Reasons</td>
<td>Y</td>
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<tr>
<td>7.3.5</td>
<td>Car Park Enforcement documents (parking tickets etc.)</td>
<td>Current Academic Year + 6 Years</td>
<td>Electronic</td>
<td>Campus Services</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<tr>
<td>7.3.6</td>
<td>Smart Card Application Forms – Staff</td>
<td>End of Employment</td>
<td>Paper / Electronic</td>
<td>Campus Services</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<tr>
<td>7.3.7</td>
<td>Smart Card Application Forms – Students</td>
<td>Current Academic Year + 4 Years</td>
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<td>Space Utilisation Surveys</td>
<td>Permanent</td>
<td>Paper / Electronic</td>
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<td>7.3.9</td>
<td>Estates Management Policies</td>
<td>Superseded + 10 Years</td>
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<td>Estates</td>
<td>Review for archival value</td>
<td>Business Reasons</td>
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<td>7.3.10</td>
<td>Estates Management Procedures</td>
<td>Superseded + 3 Years</td>
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<td>Internal Services</td>
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<td>7.4.1</td>
<td>Allocation/reservation of accommodation</td>
<td>Current Academic Year + 6 Years</td>
<td>Paper / Electronic</td>
<td>Student Accommodation Services</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<tr>
<td>7.4.2</td>
<td>Despatch and delivery of mail incl: courier and postage logs</td>
<td>Current Academic Year + 3 months</td>
<td>Paper / Electronic</td>
<td>Postal Services</td>
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<td>University vehicle requisitions</td>
<td>Life of Vehicle</td>
<td>Paper / Electronic</td>
<td>Security</td>
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<td>Parking logs for visitors</td>
<td>Date of Reservation</td>
<td>Electronic</td>
<td>Estates</td>
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<td>Parking record for staff (paid)</td>
<td>Current Academic Year</td>
<td>Electronic</td>
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<td>7.4.6</td>
<td>Private hire agreements (booking forms)</td>
<td>End of Agreement + 6 Years</td>
<td>Electronic</td>
<td>Estates</td>
<td>Destroy</td>
<td>Limitation Act 1980</td>
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<tr>
<td>7.4.7</td>
<td>Details of catering requirements and provision</td>
<td>Current Academic Year + 5 Years</td>
<td>Paper / Electronic</td>
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<td>Hospitality bookings – internal/external</td>
<td>Current Academic Year + 6 Years</td>
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<td>Campus Services</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<td>Print/Production requisitions</td>
<td>Current Academic Year + 1 Year</td>
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<td><strong>Student Accommodation</strong></td>
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<td>Accommodation Booking Record</td>
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<td>Conference Lettings: Organisation of Accommodation</td>
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<td></td>
<td>Bookings for Delegates</td>
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<td>Gas Safety Certificates for Accommodation Owned by</td>
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<td>Student Accommodation Services</td>
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<td>Private Landlords</td>
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<td>7.5.4</td>
<td>Homestay: Contracts</td>
<td>Current Academic Year + 6 Years</td>
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<td>Student Accommodation Services</td>
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<td>Limitation Act 1980</td>
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<td>7.5.5</td>
<td>Homestay: Landlord Documentation</td>
<td>Current Academic Year + 6 Years</td>
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<td>Student Accommodation Services</td>
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<td>Limitation Act 1980</td>
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<td>7.5.6</td>
<td>International Language Students: Organisation of</td>
<td>Current Academic Year + 6 Years</td>
<td>Paper / Electronic</td>
<td>Student Accommodation Services</td>
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<td>Limitation Act 1980</td>
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<tr>
<td></td>
<td>Accommodation Bookings</td>
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<td>7.5.7</td>
<td>Post-contract Negotiations: Room Swap forms</td>
<td>Current Academic Year + 6 Years</td>
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<td>Student Accommodation Services</td>
<td>Destroy</td>
<td>Limitation Act 1980</td>
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<td>7.5.8</td>
<td>Pre-contract booking negotiations: Manual Contracts</td>
<td>Current Academic Year + 6 Years</td>
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<td>Student Accommodation Services</td>
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<td>7.5.9</td>
<td>Room and Booking Lists</td>
<td>Superseded</td>
<td>Paper / Electronic</td>
<td>Student Accommodation Services</td>
<td>Destroy</td>
<td>Business Reasons</td>
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## 7. Records Retention Schedule: Estates

<table>
<thead>
<tr>
<th>Ref.</th>
<th>Record Description</th>
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<tr>
<td>7.5.10</td>
<td>Summer Schools: Organisation of Accommodation Bookings</td>
<td>Current Academic Year + 6 Years</td>
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<td>7.5.11</td>
<td>University Owned / Managed Accommodation: Inventory Lists and Accommodation Inspection Forms</td>
<td>Current Academic Year + 6 Years</td>
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<td>Destroy</td>
<td>Limitation Act 1980</td>
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### 7.6 Security

| 7.6.1 | Crime Reports                                                                      | Permanent                                    | Electronic      | Security                           | Business Reasons                | N               |
| 7.6.2 | Key issue / return logs                                                            | Current Academic Year + 3 months             | Paper / Electronic | Security                           | Destroy                          | Business Reasons                | N               |
| 7.6.3 | Security passes issued to visitors                                                 | Current Academic Year + 1 Year              | Electronic      | Security                           | Destroy                          | Business Reasons                | N               |

### 7.7 Environmental

| 7.7.1 | Agricultural waste exemptions                                                      | Current Academic Year + 3 Years             | Paper           | Estates - Brackenhurst             | Destroy                          | Business Reason               | N               |
| 7.7.2 | Asbestos Air monitoring reports                                                    | Permanent                                    | Paper / Electronic | Estates - City                    | SI 2012 / 632                    | N               |
| 7.7.3 | Asbestos Database, information for all 3 NTU campuses containing Type 2 survey, Removals carried out, follow up condition history | Permanent                                    | Electronic      | Estates - City                    | SI 2012 / 633                    | N               |
### 7. Records Retention Schedule: Estates

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<tr>
<td>7.7.4</td>
<td>Asbestos Hazardous Waste Consignment Notes</td>
<td>Current Academic Year + 3 Years</td>
<td>Paper / Electronic</td>
<td>Estates - City</td>
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<td>Si205/894</td>
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<td>7.7.5</td>
<td>Asbestos Training for NTU Staff (legal requirement)</td>
<td>Current Academic Year + 3 Years</td>
<td>Paper / Electronic</td>
<td>Estates - City</td>
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<td>EMS Procedure 4.4.1 Control of Records</td>
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<td>7.7.6</td>
<td>Air Conditioning Records (all three Campuses)</td>
<td>Current Academic Year + 5 Years</td>
<td>Paper / Electronic</td>
<td>Estates - City</td>
<td>Destroy</td>
<td>Defra Record Keeping and Report F Gas</td>
<td>N</td>
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<td>7.7.7</td>
<td>Articles of Substance – COSHH (NTU Student Union)</td>
<td>Current Academic Year + 3 Years</td>
<td>Paper</td>
<td>Estates - Clifton</td>
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<td>EMS Procedure 4.4.1 Control of Records</td>
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<td>7.7.8</td>
<td>Compacting, crushing, shredding and pulverising exemption</td>
<td>Current Academic Year + 3 Years</td>
<td>Paper</td>
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<td>7.7.9</td>
<td>Composting exemption licence</td>
<td>Current Academic Year + 3 Years</td>
<td>Paper / Electronic</td>
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<td>Composting Log</td>
<td>Current Academic Year + 3 Years</td>
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<td>7.7.11</td>
<td>COSHH assessment records (chemicals hazardous to Health)</td>
<td>Current Academic Year + 40 Years</td>
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<td>Health &amp; Safety Co-ordinators</td>
<td>Destroy</td>
<td>COSHH Regulations</td>
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<td>7.7.12</td>
<td>COSHH assessment records (other than hazardous to health)</td>
<td>Current Academic Year + 3 Years</td>
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<td>Health &amp; Safety Co-ordinators</td>
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<td>7.7.13</td>
<td>DEC certificates and reports</td>
<td>Current Academic Year + 1 Year</td>
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<td>Estates - City</td>
<td>Destroy</td>
<td>Business Reason</td>
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<tr>
<td>7.7.14</td>
<td>Genetically Modified substances records (assessment records)</td>
<td>Current Academic Year + 10 Years</td>
<td>Paper / Electronic</td>
<td>Estates - Clifton</td>
<td>Destroy</td>
<td>Business Reason</td>
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### 7. Records Retention Schedule: Estates

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<tr>
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<th>Record Description</th>
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<tr>
<td>7.7.15</td>
<td>Genetically Modified substances records (HSE documents, training documents, codes of practice)</td>
<td>Current Academic Year + 3 Years</td>
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<td>7.7.16</td>
<td>Hazardous Waste Site registrations for all three Campuses</td>
<td>Current Academic Year + 1 Year</td>
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<td>Estates - City</td>
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<td>7.7.17</td>
<td>Hazardous Waste consignment notes (Vet Nursing – Brackenhurst) sharps disposal and clinical waste</td>
<td>Current Academic Year + 3 Years</td>
<td>Paper</td>
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<td>Hazardous waste consignments notes (Vet Nursing – Brackenhurst) – X-ray fixtures/developer</td>
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<td>7.7.19</td>
<td>Hazardous waste consignments notes (Vet Nursing – Brackenhurst) – animal carcasses</td>
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<td>Hazardous waste consignment notes re pesticide wastes &amp; used PPE/packaging</td>
<td>Current Academic Year + 3 Years</td>
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<td>Estates - Clifton</td>
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<td>7.7.21</td>
<td>Hazardous Waste Consignment notes for City clinical waste</td>
<td>Current Academic Year + 3 Years</td>
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<td>SI 2005 / 894</td>
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<td>7.7.22</td>
<td>Hazardous Waste Consignment notes for SAT clinical waste</td>
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### 7. Records Retention Schedule: Estates

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<tr>
<td>7.7.23</td>
<td>Hazardous Waste Consignment notes for Science and Technology chemical waste</td>
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<td>SI 2005 / 894</td>
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<tr>
<td>7.7.24</td>
<td>Crushing Florescent tubes on site exemption</td>
<td>Current Academic Year + 3 Years</td>
<td>Electronic</td>
<td>Estates - City</td>
<td>Destroy</td>
<td>Business Reason</td>
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<td>7.7.25</td>
<td>Hazardous Waste Consignment Notes for Fluorescent tubes and other mercury bearing lamps from all three Campuses</td>
<td>Current Academic Year + 3 Years</td>
<td>Paper</td>
<td>Estates - City</td>
<td>Destroy</td>
<td>SI 2005 / 894</td>
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<td>7.7.26</td>
<td>COSHH disposal records for all three campuses</td>
<td>Current Academic Year + 3 Years</td>
<td>Paper</td>
<td>Estates - City</td>
<td>Destroy</td>
<td>SI 2005 / 894</td>
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<td>7.7.27</td>
<td>Hazardous Waste Consignment notes for Brackenhurst labs</td>
<td>Current Academic Year + 3 Years</td>
<td>Paper</td>
<td>Estates - Brackenhurst</td>
<td>Destroy</td>
<td>SI 2005 / 894</td>
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<td>7.7.28</td>
<td>Hazardous Waste Consignment notes for Brackenhurst workshops</td>
<td>Current Academic Year + 3 Years</td>
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<td>Estates - Brackenhurst</td>
<td>Destroy</td>
<td>SI 2005 / 894</td>
<td>N</td>
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<td>7.7.29</td>
<td>Hazardous waste consignment notes for Brackenhurst Farm</td>
<td>Current Academic Year + 3 Years</td>
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<td>Estates - Brackenhurst</td>
<td>Destroy</td>
<td>SI 2005 / 894</td>
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<td>7.7.30</td>
<td>Hazardous Waste consignment notes for Students Union waste</td>
<td>Current Academic Year + 3 Years</td>
<td>Paper</td>
<td>Estates - Clifton</td>
<td>Destroy</td>
<td>SI 2005 / 894</td>
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<td>7.7.31</td>
<td>Hazardous Waste Consignment notes for Architecture Design and the Built Environment (ADBE) metals</td>
<td>Current Academic Year + 3 Years</td>
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<td>Estates - City</td>
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<tr>
<td>Ref.</td>
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<tr>
<td>7.7.32</td>
<td>Legionella Documents- Risk Assessments and Scheme</td>
<td>Current Academic Year + 2 Years</td>
<td>Electronic</td>
<td>Estates</td>
<td>Destroy</td>
<td>SI 1999 / 3242 (3) (5), S2, 3 &amp; 4 of Health &amp; Safety &amp; Work Act 1974, SI 1999 / 437 (6) &amp; (9)</td>
<td>N</td>
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<tr>
<td>7.7.33</td>
<td>Legionella Documents- Inspection, Test or Monitoring Results</td>
<td>Current Academic Year + 5 Years</td>
<td>Electronic</td>
<td>Estates</td>
<td>Destroy</td>
<td>SI 1999 / 3242 (3) (5), S2, 3 &amp; 4 of Health &amp; Safety &amp; Work Act 1974, SI 1999 / 437 (6) &amp; (9)</td>
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<td>7.7.34</td>
<td>Nitrogen Vulnerable Zone records</td>
<td>Current Academic Year + 5 Years</td>
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<td>Estates - Brackenhurst</td>
<td>Destroy</td>
<td>Defra Record Keeping</td>
<td>N</td>
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<td>7.7.35</td>
<td>Pesticide Records for farm</td>
<td>Current Academic Year + 3 Years</td>
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<td>Estates - Brackenhurst</td>
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<td>HSE Guidance</td>
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<td>7.7.36</td>
<td>Pesticides use log at Site (Clifton Campus)</td>
<td>Current Academic Year + 3 Years</td>
<td>Paper / Electronic</td>
<td>Estates - Clifton</td>
<td>Destroy</td>
<td>HSE Guidance</td>
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<tr>
<td>7.7.37</td>
<td>Quarterly returns for labs and workshop (Brackenhurst)</td>
<td>Current Academic Year + 3 Years</td>
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<td>Estates - Brackenhurst</td>
<td>Destroy</td>
<td>SI 2005 / 894</td>
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<td>7.7.40</td>
<td>Radioactive materials - Open Sources – issued 20 January 2010 – CE3035</td>
<td>Last Activity + 30 Years</td>
<td>Paper</td>
<td>Estates - Clifton</td>
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<td>Business Reason</td>
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## 7. Records Retention Schedule: Estates

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<tr>
<td>7.7.41</td>
<td>Waste Transfer Notes for general and recyclable waste for all three sites</td>
<td>Current Academic Year + 3 Years</td>
<td>Paper</td>
<td>Estates - City</td>
<td>Destroy</td>
<td>SI 2011 / 988</td>
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<td>7.7.42</td>
<td>WEEE waste transfer notes</td>
<td>Current Academic Year + 3 Years</td>
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<td>SI 2005 / 894</td>
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<td>7.7.43</td>
<td>WEEE IT Waste Transfer Notes</td>
<td>Current Academic Year + 3 Years</td>
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<td>Estates - City</td>
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</table>
## 8. Records Retention Schedule: External Relations

### In External Relations:
Community Liaison / Fundraising and Alumni / Integrated Marketing / Marketing Services and Web Management / Student Recruitment

<table>
<thead>
<tr>
<th>Ref.</th>
<th>Record Description</th>
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<th>Action at end of Retention Period</th>
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<td>Volunteering information</td>
<td>Current Academic Year + 1 Year</td>
<td>Paper / Electronic</td>
<td>Schools, Colleges, &amp; Community Outreach</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<tr>
<td>8.1.2</td>
<td>“V Project” Steering Group (agenda/minutes/papers)</td>
<td>Current Academic Year + 3 Years</td>
<td>Paper</td>
<td>Schools, Colleges, &amp; Community Outreach</td>
<td>Destroy</td>
<td>Requirements of Funding</td>
<td>Y</td>
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<tr>
<td>8.1.3</td>
<td>School &amp; College Activity Programme and monitoring</td>
<td>Current Academic Year + 1 Year</td>
<td>Electronic</td>
<td>Schools, Colleges, &amp; Community Outreach</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<td>8.1.4</td>
<td>Admissions Compact Scheme – application &amp; monitoring information</td>
<td>Permanent</td>
<td>Paper / Electronic</td>
<td>Schools, Colleges, &amp; Community Outreach</td>
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<td>Business Reasons</td>
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<tr>
<td>8.1.5</td>
<td>Work experience student data</td>
<td>Current Academic Year + 3 Year</td>
<td>Electronic</td>
<td>Schools, Colleges, &amp; Community Outreach</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<td>8.1.6</td>
<td>Students in Classrooms Schemes</td>
<td>End of Project + 6 Years</td>
<td>Paper / Electronic</td>
<td>Schools, Colleges, &amp; Community Outreach</td>
<td>Destroy</td>
<td>Limitation Act 1980 and Business Reasons</td>
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<td><strong>Fundraising and Alumni</strong></td>
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<td>8.2.1</td>
<td>Identification of fundraising opportunities</td>
<td>Current Academic Year + 5 Years</td>
<td>Electronic</td>
<td>Development &amp; Alumni Relations</td>
<td>Destroy</td>
<td>Business Reasons</td>
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### 8. Records Retention Schedule: External Relations

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<th>Personal Info?</th>
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<tbody>
<tr>
<td>8.2.2</td>
<td>Design &amp; Execution of fundraising campaigns: Fundraising Plans, Promotional materials, Promotional prospectuses, Event statistics</td>
<td>Current Academic Year + 10 Years</td>
<td>Electronic</td>
<td>Development &amp; Alumni Relations</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<tr>
<td>8.2.3</td>
<td>Management of relationships with individuals who provide funds</td>
<td>End of Relationship + 10 Years</td>
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<td>Development &amp; Alumni Relations</td>
<td>Destroy</td>
<td>Limitation Act 1980 and Business Reasons</td>
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<td>Alumni database</td>
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<td>8.2.5</td>
<td>Organisation of Special Alumni events</td>
<td>Current Academic Year + 3 Years</td>
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<td>Development &amp; Alumni Relations</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<td>8.2.6</td>
<td>Alumni Newsletters/Magazines</td>
<td>Permanent</td>
<td>Paper</td>
<td>Development &amp; Alumni Relations</td>
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<td>Business Reasons</td>
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<td>8.2.7</td>
<td>Raiser’s Edge database (Managing relationships with individuals and corporate companies)</td>
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<td>Electronic</td>
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<tr>
<td>8.2.8</td>
<td>Summary (anonymised) statistical records of alumni</td>
<td>Current Academic Year + 10 Years</td>
<td>Electronic</td>
<td>Development &amp; Alumni Relations</td>
<td>Destroy</td>
<td>Business Reasons</td>
<td>N</td>
</tr>
<tr>
<td>8.2.9</td>
<td>Enquiries from alumni and the responses provided</td>
<td>Current Academic Year + 1 Year</td>
<td>Electronic</td>
<td>Development &amp; Alumni Relations</td>
<td>Destroy</td>
<td>Business Reasons</td>
<td>Y</td>
</tr>
<tr>
<td>8.2.10</td>
<td>Unsolicited feedback from Alumni and the responses provided</td>
<td>Current Academic Year + 1 Year</td>
<td>Electronic</td>
<td>Development &amp; Alumni Relations</td>
<td>Destroy</td>
<td>Business Reasons</td>
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</table>
## 8. Records Retention Schedule: External Relations

<table>
<thead>
<tr>
<th>Ref.</th>
<th>Record Description</th>
<th>Retention Period</th>
<th>Format</th>
<th>Record Owner</th>
<th>Action at end of Retention Period</th>
<th>Reason for Retention Period</th>
<th>Personal Info?</th>
</tr>
</thead>
<tbody>
<tr>
<td>8.2.11</td>
<td>Alumni Surveys: Design and conduct</td>
<td>End of Survey + 3 Years</td>
<td>Electronic</td>
<td>Development &amp; Alumni Relations</td>
<td>Destroy</td>
<td>Business Reasons</td>
<td>N</td>
</tr>
<tr>
<td>8.2.12</td>
<td>Alumni Surveys: Results - individual responses</td>
<td>Current Academic Year</td>
<td>Electronic</td>
<td>Development &amp; Alumni Relations</td>
<td>Destroy</td>
<td>Business Reasons</td>
<td>Y</td>
</tr>
<tr>
<td>8.2.13</td>
<td>Alumni Surveys: Summaries and analyses of responses</td>
<td>Current Academic Year + 3 Years</td>
<td>Electronic</td>
<td>Development &amp; Alumni Relations</td>
<td>Destroy</td>
<td>Business Reasons</td>
<td>N</td>
</tr>
<tr>
<td>8.2.14</td>
<td>Alumni Complaints: Handling and Responses Provided</td>
<td>End of Complaint + 6 Years</td>
<td>Electronic</td>
<td>Development &amp; Alumni Relations</td>
<td>Destroy</td>
<td>Limitation Act 1980</td>
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</table>

### 8.3 Marketing and Communications

<table>
<thead>
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<th>Ref.</th>
<th>Record Description</th>
<th>Retention Period</th>
<th>Format</th>
<th>Record Owner</th>
<th>Action at end of Retention Period</th>
<th>Reason for Retention Period</th>
<th>Personal Info?</th>
</tr>
</thead>
<tbody>
<tr>
<td>8.3.1</td>
<td>Press Releases</td>
<td>Current Academic Year 5 Years</td>
<td>Electronic</td>
<td>Marketing and Communications</td>
<td>Destroy</td>
<td>Business Reasons</td>
<td>N</td>
</tr>
<tr>
<td>8.3.2</td>
<td>Press Clippings</td>
<td>Current Academic Year 5 Years</td>
<td>Paper / Electronic</td>
<td>Marketing and Communications</td>
<td>Destroy</td>
<td>Business Reasons</td>
<td>N</td>
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<tr>
<td>8.3.3</td>
<td>Press Coverage Statistics</td>
<td>Current Academic Year 5 Years</td>
<td>Electronic</td>
<td>Marketing and Communications</td>
<td>Destroy</td>
<td>Business Reasons</td>
<td>N</td>
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<tr>
<td>8.3.4</td>
<td>Video Tapes</td>
<td>Current Academic Year 5 Years</td>
<td>Electronic</td>
<td>Marketing and Communications</td>
<td>Destroy</td>
<td>Business Reasons</td>
<td>Y</td>
</tr>
<tr>
<td>8.3.5</td>
<td>Planning and organisation of media briefings</td>
<td>Superseded</td>
<td>Electronic</td>
<td>Marketing and Communications</td>
<td>Destroy</td>
<td>Business Reasons</td>
<td>N</td>
</tr>
<tr>
<td>8.3.6</td>
<td>Transcripts of media briefings</td>
<td>Current Academic Year + 1 Year</td>
<td>Electronic</td>
<td>Marketing and Communications</td>
<td>Destroy</td>
<td>Business Reasons</td>
<td>N</td>
</tr>
<tr>
<td>8.3.7</td>
<td>Planning and organisation of media interviews</td>
<td>Current Academic Year + 5 Years</td>
<td>Electronic</td>
<td>Marketing and Communications</td>
<td>Destroy</td>
<td>Business Reasons</td>
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### 8. Records Retention Schedule: External Relations

<table>
<thead>
<tr>
<th>Ref.</th>
<th>Record Description</th>
<th>Retention Period</th>
<th>Format</th>
<th>Record Owner</th>
<th>Action at end of Retention Period</th>
<th>Reason for Retention Period</th>
<th>Personal Info?</th>
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</thead>
<tbody>
<tr>
<td>8.3.8</td>
<td>Transcripts of media interviews</td>
<td>Current Academic Year + 1 Year</td>
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<td>Marketing and Communications</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<tr>
<td>8.3.9</td>
<td>Media enquiries: Handling and Responses provided</td>
<td>Current Academic Year + 5 Years</td>
<td>Electronic</td>
<td>Marketing and Communications</td>
<td>Destroy</td>
<td>Business Reasons</td>
<td>N</td>
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<tr>
<td>8.3.10</td>
<td>Monitoring and analysis of media coverage</td>
<td>Current Academic Year + 5 Years</td>
<td>Electronic</td>
<td>Marketing and Communications</td>
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<td>Business Reasons</td>
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</table>

#### 8.4 Marketing Services and Web Management

<table>
<thead>
<tr>
<th>Ref.</th>
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<th>Format</th>
<th>Record Owner</th>
<th>Action at end of Retention Period</th>
<th>Reason for Retention Period</th>
<th>Personal Info?</th>
</tr>
</thead>
<tbody>
<tr>
<td>8.4.1</td>
<td>Student Charter</td>
<td>Current Academic Year + 6 Years</td>
<td>Paper / Electronic</td>
<td>Marketing and Communications</td>
<td>Destroy</td>
<td>Limitation Act</td>
<td>N</td>
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<tr>
<td>8.4.2</td>
<td>Market Research Reports/Plans</td>
<td>Permanent</td>
<td>Electronic</td>
<td>Marketing and Communications</td>
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<td>Business Reasons</td>
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<tr>
<td>8.4.3</td>
<td>Design &amp; Control of Institution’s Corporate Identity</td>
<td>Permanent</td>
<td>Paper / Electronic</td>
<td>Marketing and Communications</td>
<td></td>
<td>Business Reasons</td>
<td>N</td>
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<tr>
<td>8.4.4</td>
<td>Design of promotional materials</td>
<td>Current Academic Year + 5 Years</td>
<td>Paper / Electronic</td>
<td>Marketing and Communications</td>
<td>Destroy</td>
<td>Business Reasons</td>
<td>N</td>
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<tr>
<td>8.4.5</td>
<td>Planning and execution of marketing campaigns</td>
<td>Current Academic Year + 5 Years</td>
<td>Paper / Electronic</td>
<td>Marketing and Communications</td>
<td>Destroy</td>
<td>Business Reasons</td>
<td>N</td>
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<tr>
<td>8.4.6</td>
<td>Website: Design and control</td>
<td>Permanent</td>
<td>Paper / Electronic</td>
<td>Marketing and Communications</td>
<td></td>
<td>Business Reasons</td>
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<tr>
<td>8.4.7</td>
<td>Active Staff profiles</td>
<td>Permanent</td>
<td>Paper / Electronic</td>
<td>Marketing and Communications</td>
<td></td>
<td>Business Reasons</td>
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<tr>
<td>8.4.8</td>
<td>Inactive Staff profiles</td>
<td>Permanent</td>
<td>Paper / Electronic</td>
<td>Marketing and Communications</td>
<td></td>
<td>Business Reasons</td>
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</tr>
<tr>
<td>8.4.9</td>
<td>Rhythmyx: Design, Conduct and Summary of Results</td>
<td>Permanent</td>
<td>Paper / Electronic</td>
<td>Marketing and Communications</td>
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<td>Business Reasons</td>
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<td>8.4.10</td>
<td>Photography</td>
<td>Permanent</td>
<td>Paper / Electronic</td>
<td>Marketing and Communications</td>
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<td>Business Reasons</td>
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## 8. Records Retention Schedule: External Relations

<table>
<thead>
<tr>
<th>Ref.</th>
<th>Record Description</th>
<th>Retention Period</th>
<th>Format</th>
<th>Record Owner</th>
<th>Action at end of Retention Period</th>
<th>Reason for Retention Period</th>
<th>Personal Info?</th>
</tr>
</thead>
<tbody>
<tr>
<td>8.4.11</td>
<td>Photography Consent Forms</td>
<td>Permanent</td>
<td>Paper / Electronic</td>
<td>Marketing and Communications</td>
<td>Business Reasons</td>
<td>Y</td>
<td></td>
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<tr>
<td>8.4.12</td>
<td>Video</td>
<td>Permanent</td>
<td>Paper / Electronic</td>
<td>Marketing and Communications</td>
<td>Business Reasons</td>
<td>Y</td>
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<tr>
<td>8.4.13</td>
<td>Video Consent Forms</td>
<td>Permanent</td>
<td>Paper / Electronic</td>
<td>Marketing and Communications</td>
<td>Business Reasons</td>
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<tr>
<td>8.4.14</td>
<td>Analytics (Personal Data)</td>
<td>Permanent</td>
<td>Paper / Electronic</td>
<td>Marketing and Communications</td>
<td>Business Reasons</td>
<td>Y</td>
<td></td>
</tr>
<tr>
<td>8.4.15</td>
<td>Summaries of web analytics (Personal Data)</td>
<td>Permanent</td>
<td>Paper / Electronic</td>
<td>Marketing and Communications</td>
<td>Business Reasons</td>
<td>Y</td>
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<tr>
<td>8.4.16</td>
<td>Public Surveys: Design and Conduct of surveys</td>
<td>Permanent</td>
<td>Electronic</td>
<td>Strategic Planning and Change</td>
<td>Business Reasons</td>
<td>N</td>
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<tr>
<td>8.4.17</td>
<td>Public Surveys: Results, Summaries and Analyses of responses</td>
<td>Permanent</td>
<td>Electronic</td>
<td>Strategic Planning and Change</td>
<td>Business Reasons</td>
<td>Y</td>
<td></td>
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<tr>
<td>8.4.18</td>
<td>Student Surveys: University's Own and the National Student Survey</td>
<td>Current Academic Year + 5 Years</td>
<td>Electronic</td>
<td>Strategic Planning and Change</td>
<td>Destroy</td>
<td>PSR Evidence and Business Reasons</td>
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</tbody>
</table>

### 8.5 Student Recruitment

<table>
<thead>
<tr>
<th>Ref.</th>
<th>Record Description</th>
<th>Retention Period</th>
<th>Format</th>
<th>Record Owner</th>
<th>Action at end of Retention Period</th>
<th>Reason for Retention Period</th>
<th>Personal Info?</th>
</tr>
</thead>
<tbody>
<tr>
<td>8.5.1</td>
<td>Student Recruitment: Design, conduct and summary results of recruitment campaigns</td>
<td>Current Academic Year + 5 Years</td>
<td>Paper / Electronic</td>
<td>Strategic Planning and Change/ Marketing and Communications</td>
<td>Destroy</td>
<td>Business Reasons</td>
<td>N</td>
</tr>
<tr>
<td>8.5.2</td>
<td>Student Recruitment: Design, Organisation and summary results of recruitment events</td>
<td>Current Academic Year + 5 Years</td>
<td>Paper / Electronic</td>
<td>Strategic Planning and Change/ Marketing and Communications</td>
<td>Destroy</td>
<td>Business Reasons</td>
<td>N</td>
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</tbody>
</table>
## 8. Records Retention Schedule: External Relations

<table>
<thead>
<tr>
<th>Ref.</th>
<th>Record Description</th>
<th>Retention Period</th>
<th>Format</th>
<th>Record Owner</th>
<th>Action at end of Retention Period</th>
<th>Reason for Retention Period</th>
<th>Personal Info?</th>
</tr>
</thead>
<tbody>
<tr>
<td>8.5.3</td>
<td>Student Recruitment: Issue of student recruitment materials in bulk to schools and other organisations</td>
<td>Current Academic Year</td>
<td>Electronic</td>
<td>Marketing and Communications</td>
<td>Destroy</td>
<td>Business Reasons</td>
<td>N</td>
</tr>
<tr>
<td>8.5.4</td>
<td>Student Recruitment: Handling of enquiries from prospective students</td>
<td>Current Academic Year + 6 months</td>
<td>Electronic</td>
<td>Marketing and Communications</td>
<td>Destroy</td>
<td>Business Reasons</td>
<td>Y</td>
</tr>
<tr>
<td>8.5.5</td>
<td>Student Recruitment: Summary (anonymised) statistical records of enquiries</td>
<td>Current Academic Year + 10 Years</td>
<td>Electronic</td>
<td>Marketing and Communications</td>
<td>Destroy</td>
<td>Business Reasons</td>
<td>N</td>
</tr>
<tr>
<td>8.5.6</td>
<td>Promotional Materials: Design, conduct and summary results</td>
<td>Permanent</td>
<td>Paper / Electronic</td>
<td>Marketing and Communications</td>
<td></td>
<td>Business Reasons</td>
<td>N</td>
</tr>
<tr>
<td>8.5.7</td>
<td>Business Leads: Handling and responses provided</td>
<td>Current Academic Year + 5 Years</td>
<td>Electronic</td>
<td>Marketing and Communications/ Employability and Enterprise</td>
<td>Destroy</td>
<td>Business Reasons</td>
<td>Y</td>
</tr>
<tr>
<td>8.5.8</td>
<td>Business Leads : Summary (anonymised) statistics</td>
<td>Current Academic Year + 10 Years</td>
<td>Electronic</td>
<td>Marketing and Communications/ Employability and Enterprise</td>
<td>Destroy</td>
<td>Business Reasons</td>
<td>N</td>
</tr>
<tr>
<td>8.5.9</td>
<td>Business Contacts: Containing Personal Data</td>
<td>Current Academic Year + 5 Years</td>
<td>Electronic</td>
<td>Marketing and Communications/ Employability and Enterprise</td>
<td>Destroy</td>
<td>Business Reasons</td>
<td>Y</td>
</tr>
<tr>
<td>Ref.</td>
<td>Record Description</td>
<td>Retention Period</td>
<td>Format</td>
<td>Record Owner</td>
<td>Action at end of Retention Period</td>
<td>Reason for Retention Period</td>
<td>Personal Info?</td>
</tr>
<tr>
<td>--------</td>
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<td>------------------------------------------------------------------------------</td>
<td>----------------------------------</td>
<td>----------------------------</td>
<td>-----------------</td>
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<tr>
<td>8.5.10</td>
<td>Business Contacts: Summary (anonymised) statistics</td>
<td>Current Academic Year + 10 Years</td>
<td>Electronic</td>
<td>Marketing and Communications/ Employability and Enterprise</td>
<td>Destroy</td>
<td>Business Reasons</td>
<td>N</td>
</tr>
<tr>
<td>8.5.11</td>
<td>Employer Engagement: Data on businesses for employer engagement activity</td>
<td>Current Academic Year + 5 Years</td>
<td>Electronic</td>
<td>Marketing and Communication Employability and Enterprise /</td>
<td>Destroy</td>
<td>Business Reasons</td>
<td>Y</td>
</tr>
<tr>
<td>8.5.12</td>
<td>Employer Engagement: Summary (anonymised) statistics on employer engagement activity</td>
<td>Current Academic Year + 10 Years</td>
<td>Electronic</td>
<td>Marketing and Communications/ Employability and Enterprise</td>
<td>Destroy</td>
<td>Business Reasons</td>
<td>N</td>
</tr>
<tr>
<td>8.5.13</td>
<td>Employer Engagement: Design, conduct and summary results of official employer engagement campaigns</td>
<td>Current Academic Year + 5 Years</td>
<td>Paper / Electronic</td>
<td>Marketing and Communications/ Employability and Enterprise</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<tr>
<td>8.5.14</td>
<td>Employer engagement: Communications</td>
<td>Permanent</td>
<td>Paper / Electronic</td>
<td>Marketing and Communications/ Employability and Enterprise</td>
<td>Business Reasons</td>
<td>N</td>
<td></td>
</tr>
<tr>
<td>8.5.15</td>
<td>Employer Engagement: Planning, Impact and results of events for employer engagement</td>
<td>Current Academic Year + 5 Years</td>
<td>Paper / Electronic</td>
<td>Marketing and Communications/ Employability and Enterprise</td>
<td>Destroy</td>
<td>Business Reasons</td>
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</tbody>
</table>
## 9. Records Retention Schedule: Information Services

### In Information Services:
Information Systems / Library and Learning Resources

<table>
<thead>
<tr>
<th>Ref.</th>
<th>Record Description</th>
<th>Retention Period</th>
<th>Format</th>
<th>Record Owner</th>
<th>Action at end of Retention Period</th>
<th>Reason for Retention Period</th>
<th>Personal Info?</th>
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<tbody>
<tr>
<td>9.1</td>
<td><strong>Information Systems</strong></td>
<td></td>
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<td>9.1.1</td>
<td>Specifications for Hardware/Software</td>
<td>Superseded</td>
<td>Electronic</td>
<td>IS</td>
<td>Destroy</td>
<td>Business Reasons</td>
<td>N</td>
</tr>
<tr>
<td>9.1.2</td>
<td>Systems Operating Logs</td>
<td>90 days – 1 Year</td>
<td>Electronic</td>
<td>IS</td>
<td>Destroy</td>
<td>Trend Analysis</td>
<td>N</td>
</tr>
<tr>
<td>9.1.6</td>
<td>System Performance Logs</td>
<td>90 days – 1 Year</td>
<td>Electronic</td>
<td>IS</td>
<td>Destroy</td>
<td>Trend analysis</td>
<td>N</td>
</tr>
<tr>
<td>9.1.3</td>
<td>Test Reports</td>
<td>End of Project + 90 days</td>
<td>Electronic</td>
<td>IS</td>
<td>Destroy</td>
<td>Business Reasons</td>
<td>N</td>
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<tr>
<td>9.1.4</td>
<td>Operational Back-Up to tape (DR/BC)</td>
<td>Current Academic Year + 18 months</td>
<td>Electronic</td>
<td>IS</td>
<td>Destroy</td>
<td>Business Reasons</td>
<td>N</td>
</tr>
<tr>
<td>9.1.8</td>
<td>Design, development and implementation of corporate IT systems</td>
<td>Decommission + 5 Years</td>
<td>Electronic</td>
<td>IS</td>
<td>Destroy</td>
<td>Business Reasons</td>
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<tr>
<td>9.1.9</td>
<td>User Registration System (network)</td>
<td>Permanent</td>
<td>Paper / Electronic</td>
<td>IS</td>
<td></td>
<td>Business Reasons</td>
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<tr>
<td>9.1.10</td>
<td>Service Manager</td>
<td>Permanent</td>
<td>Electronic</td>
<td>IS</td>
<td></td>
<td>Business Reasons</td>
<td>Y</td>
</tr>
<tr>
<td>9.1.12</td>
<td>Information Systems Strategy</td>
<td>Superseded + 3 Years</td>
<td>Electronic</td>
<td>IS</td>
<td>Destroy</td>
<td>Business Reasons</td>
<td>N</td>
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<tr>
<td>9.1.14</td>
<td>Management Strategy: Conduct, Results and Responses of Audits Reviews of IS Resources Functions</td>
<td>Current Academic Year + 5 Years</td>
<td>Electronic</td>
<td>IS</td>
<td>Destroy</td>
<td>Business Reasons</td>
<td>N</td>
</tr>
<tr>
<td>9.1.15</td>
<td>Management Strategy: Development of IS Resources Procedures</td>
<td>Superseded + 3 Years</td>
<td>Electronic</td>
<td>IS</td>
<td>Destroy</td>
<td>Business Reasons</td>
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</table>

### 9.2 Library and Learning Resources
<table>
<thead>
<tr>
<th>Ref.</th>
<th>Record Description</th>
<th>Retention Period</th>
<th>Format</th>
<th>Record Owner</th>
<th>Action at end of Retention Period</th>
<th>Reason for Retention Period</th>
<th>Personal Info?</th>
</tr>
</thead>
<tbody>
<tr>
<td>9.2.1</td>
<td>Interlibrary loan forms</td>
<td>Current Academic Year + 6 Years</td>
<td>Electronic / Paper</td>
<td>Library</td>
<td>Destroy</td>
<td>British Library and a statutory requirement that the forms are signed. See SI 1989/1212 and SI 2003/2498</td>
<td>N</td>
</tr>
<tr>
<td>9.2.2</td>
<td>Enquiry Forms</td>
<td>Current Academic Year + 1 Year</td>
<td>Paper</td>
<td>Library</td>
<td>Destroy</td>
<td>British Library Requirement</td>
<td>Y</td>
</tr>
<tr>
<td>9.2.3</td>
<td>Databases</td>
<td>End of Licence + 1 Year</td>
<td>Paper / Electronic</td>
<td>Library</td>
<td>Destroy</td>
<td>Business Reasons</td>
<td>N</td>
</tr>
<tr>
<td>9.2.4</td>
<td>Inter-site photocopy request forms</td>
<td>Current Academic Year + 6 Years</td>
<td>Paper</td>
<td>Library</td>
<td>Destroy</td>
<td>British Library requirement</td>
<td>N</td>
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<tr>
<td>9.2.5</td>
<td>Digitisation requests</td>
<td>Current Academic Year + 4 Years</td>
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