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Record Retention Schedule

Metanoia Institute

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1. Introduction and Scope

1.1. What is a data retention schedule?

A data retention schedule (DRS) is a key part of a successful records management programme. It allows individuals to take consistent action on the retention and destruction of corporate records and prevents ad-hoc decisions being taken at a local level.

1.2. Why do we need one at Metanoia Institute (the Institute)?

The schedule helps to protect the interests of the Institute by ensuring our records are kept to meet both operational and legal obligations, and demonstrates accountability to stakeholders including funders, regulators and students. It also helps to meet our obligations relating to Data Protection (see the [Institute's Data Protection Policy](#)).

1.3. How has the schedule been created?

The schedule is based on a model designed by JISC ([Records retention management - Jisc](#)) for higher education providers and follows a functional approach. This approach recognises that whilst corporate business unit names may change, functions and activities undertaken stay broadly similar over time. The JISC document was updated in February 2025.

1.4. How do I use it?

The main types of records created, received or maintained by the Institute as part of its activities are listed, specifying the period they need to be retained. The action relates to the required action upon the end of the retention period. Where the term 'REVIEW' is used in the **Action** column, the records will be reviewed by the Executive Committee to determine if they have archival value (i.e. long-term research value not attached to their primary function). Where the term 'PERMANENT' is used, these records must be retained permanently. For ease of consultation, the rationale and legal basis for the schedule have not been included below. Full details of rationale are retained by the Head of Governance and Compliance. Reach out to dataprotection@metanoia.ac.uk for further information on these. The full detailed DRS is held locally by the Head of Governance and Compliance.

It should be noted that the schedule applies to all records **regardless of the format or media they are created or retained in**. Approaches to ensuring appropriate retention and destruction of records will differ according to format or media of the record.

1.5. What does not fall under the scope of the schedule?

The schedule applies only to the master or official copy of a record: duplicates and convenience copies, including back-ups, should be disposed of once reference use has ended, and **always** before the end of the retention period.

1.6. Ephemeral material

Some records and information have no significant informational or evidential value and can be destroyed as soon as they are no longer useful. These should be disposed of promptly. Examples of such material are listed below:

1.6.1. Working papers whose contents have been incorporated into later drafts and which

- are not required to support them
- 1.6.2. Notices of meetings and other events, acceptances and apologies
- 1.6.3. Transmission documents: letters, fax cover sheets, emails, compliment slips and other items which accompany documents but don't add value to them
- 1.6.4. Message slips
- 1.6.5. Diaries and address books
- 1.6.6. Superseded address or distribution lists
- 1.6.7. Requests for routine information such as maps, travel directions, brochures and prospectuses
- 1.6.8. Duplicate documents such as cc emails, unaltered drafts and snapshots or extracts from databases
- 1.6.9. Published material which is obsolete or superseded, such as trade magazines, posters, catalogues, manuals and forms.

2. Definitions of Functions

A brief definition of each 'function' is included below. Any queries about specific records should be referred to the relevant member of staff in line with the queries section (*Section 3*).

2.1 Teaching and Learning Support

- 2.1.1. The function of (1) developing and delivering learning support resources[i] to support taught students in developing academic and personal skills, and of (2) delivering the institution's taught programmes which lead to academic awards[ii]. For teaching programmes which do not lead to academic awards, use Knowledge Transfer and Enterprise.
- 2.1.2. Includes the delivery of all learning support resources, whatever they are and however they are made available to students. Learning support resources include guidance materials in a range of media/formats; training for individuals or groups (e.g. lectures, workshops); individual coaching / advice (e.g. on academic writing skills or presentation skills).
- 2.1.3. Includes the delivery of all taught programmes, whatever the type of award they lead to, whatever the delivery method (e.g. includes distance learning, e-learning, blended learning, workplace learning, as well as traditional methods), and whether the programme is delivered in collaboration with other institutions or organisations.

2.2 Academic and Student management

- 2.2.1 The function of managing and providing administrative support for the institution's academic programmes, student assessment, and awards, and of managing the institution's relationships with its students and providing student support services; maintaining evidence of fitness to practise and carrying out Fitness to Practice investigations.
- 2.2.2 Retention periods will start to apply once a 'trigger' has been reached. For student data this will generally be the end of their studies.

2.3 Research, Programme Provision and Publishing

- 2.3.1 The function of (1) undertaking academic research, (2) delivering the institution's supervised research programmes, and (3) publishing materials for internal or external distribution.
- 2.3.2 For intellectual property rights, including copyright and patents, see KNOWLEDGE TRANSFER AND ENTERPRISE.

2.4 Knowledge Transfer and Enterprise

- 2.4.1 The function of managing knowledge transfer, innovation and partnership. Includes (1) commercial exploitation of the institution's intellectual property, (2) providing consultancy to external organisations on a commercial basis, (3) delivering education and training programmes to external organisations and the public, (4) setting up and managing related companies, and (5) providing services to external organisations or the public on a commercial basis.

2.5 Strategy, planning, performance and quality

- 2.5.1 The function of developing and establishing the institution's overall strategy, developing its strategic plan, producing and disseminating business intelligence and management information to support the institution's management processes, co-ordinating projects to meet strategic and operational plans, managing overall quality in the institution, and managing the institution's overall performance against strategic and operational plans.

2.6 Corporate Governance and Risk Management

- 2.6.1 The function of (1) developing and establishing the institution's corporate governance structure and rules, and of conducting its business in accordance with its governance structure and rules, (2) developing the institution's organisational structure and culture, (3) managing risks to the viability or success of the institution, (4) assessing the institution's liabilities and insurance needs, and of maintaining adequate insurance cover, (5) conducting internal and external audits of the institution's affairs and operations for internal control purposes and to ensure compliance with internal and external requirements.

2.7 Legal affairs management

- 2.7.1 The function of managing the Institute's legal affairs.

2.8 Money Management

- 2.8.1 The function of managing the institution's financial resources, including purchasing goods, works and services from external organisations, and other procurement processes.

2.9 People Management

- 2.9.1 The function of (1) managing the institution's compliance with legislation on equal opportunities, and (2) managing the institution's workforce as a whole and its contractual relationship with individuals who have an employment contract with the institution. For establishing and managing contract with employment agencies for the supply of temporary staff, use the procurement activities under MONEY MANAGEMENT - CONTRACT MANAGEMENT.

2.10 Facilities, Locations and Environs Management

- 2.10.1 The function of managing the institution's impact on the physical environment[i], its physical estate[ii], facilities[iii], equipment[iv] and consumables[v], the health and safety of staff, students and others interacting with the institution, and ensuring compliance with legislation on these matters.

2.11 Information and collections Management

- 2.11.1 The function of managing the information and collections created or acquired by the Institution in the course of its work or to support its research, teaching or other

work. This function includes managing the institution's: (1) collections of publications; (2) object collections; (3) records; (4) corporate archive; (5) compliance with information legislation; and (6) the information technology (IT) systems which support the institution's functions and activities.

2.11.2 This function does not cover the management of the business units which are responsible for the collections, or the associated services and facilities.

2.12 Marketing, Communications and Events Management

2.12.1 The function of marketing the institution, raising and maintaining its public profile, fundraising, and managing the institution's formal corporate relationships with: its alumni; its donors; organisations and individuals in its local community; organisations in the further and higher education sectors; government bodies; parliamentary bodies; and the wider public. This function is intended to cover formal relationships between the institution and external stakeholders at a corporate level. It does not cover routine contact relating to a specific function or activity which is covered elsewhere in this DRS. For managing the institution's relationship with its students, see Academic and Student Management.

3 Queries

If you have any queries relating to the schedule or require clarification on any points, please contact the Institute's Head of Governance and Compliance at dataprotection@metanoia.ac.uk who will assist in interpretation.

Function	Activity	Scope notes	Retention	Action
Teaching and Learning Support				
Teaching and Learning Support	Taught programme development	The activities involved in developing the institution's taught programmes. Activities include: designing and developing new programmes and new modules specifications in existing programmes; revising existing programmes and modules; withdrawing programmes or modules; obtaining and maintaining accreditation for programmes.	10 years	Review / Archive
Teaching and Learning Support	Taught programme delivery	The activities involved in delivering the institution's taught programmes. Activities include: preparing teaching and learning materials (which may be in any medium or format); planning and conducting teaching and learning events (e.g. lectures, tutorials, seminars, workshops, practical instruction classes, field trips, work placements); providing opportunities for students to gain formative feedback on their learning (e.g. through peer assessment of presentations or completion of self-assessment tasks). Recorded materials may need to be kept for a shorter period of time.	1 year	Destroy
Teaching and Learning Support	Taught student assessment	The activities involved in conducting assessment (i.e. all types of formative and summative assessment) to measure students' achievement of the intended learning outcomes of the institution's taught programmes. Activities include: setting assessments; marking/grading assessments; reviewing marks/grades awarded in response to notifications of mitigating circumstances; conducting meetings of examination boards; determining awards and classifications. For PGR assessment use RESEARCH PROGRAMME ASSESSMENT.	6 years	Destroy

Teaching and Learning Support	Taught programme review	The activities involved in reviewing the institution's taught programmes to inform ongoing programme development. Activities include: collecting and analysing student numbers and other programme statistics; collecting, reviewing and responding to feedback on programmes from staff, students, external examiners and others.	6 years	Destroy
Academic and Student management				
Academic and Student management	Student records management	The activities involved in (1) compiling and maintaining complete and accurate records of the progress, attainment and conduct of students throughout their relationship with the institution, (2) making students' records, and aggregated student data and analyses available to departments to support other institutional activities. Activities include: setting up student records for new students; collecting data and updating student records in accordance with institutional rules and regulations (e.g. data on criminal convictions); conducting standard analyses of data on students; conducting ad hoc analyses of data to meet specific requirements; distributing student records, and aggregated data and analyses, to departments in accordance with institutional rules and regulations and in compliance with legal restrictions on the collection, handling and use of personal data; producing transcripts for current and former students; confirming awards and providing general references for students; conducting First Destination Surveys (e.g. the Destinations of Leavers from Higher Education Longitudinal survey); maintaining evidence of fitness to practise and carrying out fitness to practise investigations.	6 years	Destroy
Academic and Student management	Student core record	The activities involved in documenting marks/grades given to submitted/completed summative assessments and, where appropriate, awards and classifications. This is the minimal record kept to provide references for former students and may be retained for the lifetime of the student. A core (minimal) transcript may be retained indefinitely after this time and transferred to the archive if the institution has one. This depends on the requirements of the individual institution and their archival facilities/policies. The core record may vary according to the policy of each institution but is likely to contain name and dates of study, modules studied, and the qualifications conferred.	60 years	Review / Archive

Academic and Student management	Student recruitment	The activities involved in recruiting students to the institution. Activities include: designing and conducting student recruitment campaigns; designing and organising student recruitment events (e.g. open days and recruitment fairs); designing and operating student recruitment schemes (e.g. school liaison); issuing recruitment materials (e.g. to schools); analysing recruitment and retention data; managing international agents; visa advice for international students.	3 years	Destroy
Academic and Student management	Student admission (successful)	The activities involved in admitting students to the institution. Activities include: determining and applying admissions criteria; handling applications and enquiries for admission; administering the clearing process; monitoring overall student numbers.	6 years	Destroy
Academic and Student management	Domestic student admission (unsuccessful)	The activities involved in admitting students to the institution, who were unsuccessful in their applications Activities include: determining and applying admissions criteria; handling applications and enquiries for admission; administering the clearing process; monitoring overall student numbers.	1 year	Destroy

Academic and Student management	International student admission (unsuccessful)	The activities involved in admitting international students to the institution, who were unsuccessful in their applications or who later withdrew their applications. Activities include: determining and applying admissions criteria; handling applications and enquiries for admission; administering the clearing process; monitoring overall student numbers. Records of international students who are "no shows" may need to be retained for audit purposes	6 years	Review / Destroy
Academic and Student Management	Tuition fee remission (successful)	The activities involved in processing applications for remission of tuition fees.	6 years	Destroy
Academic and Student Management	Tuition fee remission (unsuccessful)	The activities involved in processing applications for remission of tuition fees.	1 years	Destroy
Academic and Student Management	Tuition fee collection	The activities involved in collecting tuition fees.	6 years	Review / Destroy
Academic and Student Management	Financial aid funds management	The activities involved in managing and administering the allocation of financial aid funds available to the institution's students. Activities include: providing advice to students about financial aid funds and crisis/hardship funds and assisting them to apply for funds; handling applications for financial aid funds.	6 years	Destroy

Academic and Student Management	Bursaries management	The activities involved in managing and administering the award of bursaries available to the institution's students.	6 years	Destroy
Academic and Student Management	Scholarships and fellowships management	The activities involved in managing and administering the award of scholarships and fellowships available to the institution's students.	6 years	Destroy
Academic and Student Management	Student accommodation service management	The activities involved in providing residential accommodation (e.g. halls of residence) for the institution's students.	6 years	Destroy
Academic and Student management	Student accommodation service management (who don't take up accommodation)	The activities involved in providing residential accommodation (e.g. halls of residence) for the institution's students.	1 year	Destroy
Academic and Student Management	Student induction	The activities involved in designing and organising induction programmes[i] for new students. Activities include: developing student induction programmes (e.g. Freshers Week); organising programmed events; recruiting and organising staff and students to lead and support programmed events. [i] Induction programmes include: general orientation programmes for new undergraduate students (e.g. Freshers Week); general introduction programmes for new postgraduate students; customised programmes for specific groups of students (e.g. international students); academic briefings on specialist departments.	6 years	Destroy
Academic and Student management	Student progress administration	The activities involved in tracking the academic progress of students, administering changes to programmes of study and ensuring that correct procedures are followed. Activities include: identifying and monitoring unsatisfactory academic performance and progress; administering transfers to new programmes and changes of modules within programmes; verifying that students have satisfied institutional regulations for awards; administering withdrawals from the institution; administering terminations of programmes.	6 years	Review / Destroy

Academic and Student Management	Student relations management	The activities involved in managing the institution's relationship with its student body. Activities include: developing and implementing communication mechanisms to ensure that students are properly informed about the nature of their relationship with the institution, their rights and responsibilities and the support available to them; establishing and operating staff–student liaison committees at department, school or faculty level; organising the election and/or appointment of student representatives to the institution's governing body and executive committees; training elected student representatives to fulfil their roles effectively; conducting student satisfaction surveys to assess students' overall experiences of institutions; operating student suggestions schemes.	3 years	Destroy
Academic and Student management	Student conduct management	The activities involved in conducting formal investigations and disciplinary proceedings against students for breaches of the institution's regulations. Includes academic misconduct, fitness to practise and safeguarding cases. Activities include: investigating allegations against students; informing students of disciplinary decisions and imposing penalties; considering appeals by students against disciplinary decisions or penalties imposed; Prevent duty records.	6 years	Destroy
Academic and Student management	Student extenuating circumstances and academic appeal handling	The activities involved in handling (1) extenuating circumstances requests from students and (2) appeals by students against academic decisions. Activities include: reviewing students' original marks; considering extenuating circumstances; informing students of decisions.	6 years	Review / Destroy
Academic and Student management	Student wellbeing service management	The activities involved in providing services to the institution's students that support their wellbeing in the widest sense. Services include: disability support services, counselling services, chaplaincy services, sport and exercise services, psychological support for student practitioners.	6 years	Destroy
Academic and Student Management	Student extra-curricular activity management	The activities involved in providing extra-curricular activities delivered directly by the institution (rather than through the Students' Union or other external body).	3 years	Destroy

Academic and Student Management	Academic programme co-ordination	The activities involved in co-ordinating the delivery of academic programmes. Activities include: timetabling teaching; compiling class and tutorial lists; scheduling the submission, marking and return of assessed work, and monitoring compliance with these schedules; blank examination scripts; monitoring students' attendance; organising required work placements; issuing attendance certificates for postgraduate research students.	1 year	Destroy
Academic and Student Management	Prizes management	The activities involved in managing and administering the award of prizes available to the institution's students. Activities include: inviting nominations for prizes; considering nominations received and awarding prizes; notifying the recipients of prizes; presentation of prizes. There is scope to keep baseline information on these awards as part of the core student record.	6 years	Review / Destroy
Academic and Student Management	Assessment management	The activities involved in administering assessments. Activities include: appointing and training examination invigilators; controlling examination materials; timetabling examinations; organising examination facilities (including arrangements for students with disabilities); monitoring attendance at examinations and reporting extenuating circumstances and absences to academic departments; administering the marking of examination scripts; collating examination results; issuing pass lists and individual notifications of examination results; monitoring submission of assessed coursework and reporting problems to academic departments; administering the submission and examination of postgraduate theses, liaising with external examiners on administrative matters (e.g. accommodation, expenses).	1 year	Review / Destroy
Academic and Student Management	External examiner management	The activities involved in recruiting, selecting, appointing and supporting external examiners. Activities include: recruiting and appointing external examiners.	6 years	Destroy

Academic and Student Management	Examination board administration	The activities involved in administering the work of Boards of Examiners (or equivalent). Activities include: arranging Board meetings; preparing papers for Board meetings; recording decisions of Board meetings; taking/co-ordinating action to be carried out as a result of Board decisions.	6 years	Review / Destroy
Academic and Student Management	Academic award conferment	The activities involved in administering the conferment of the institution's academic awards. For awards to students, activities include: issuing lists and individual notifications of awards; organising the production of awards certificates; issuing awards certificates to students who do not attend awards ceremonies; handling requests for subsequent confirmation of awards from former students or from others in respect of former students. For honorary awards, activities include: inviting and receiving nominations for honorary awards; considering nominations for honorary awards and preparing recommendations for submission to the appropriate committee; issuing offers of awards and handling responses.	1 year	Destroy
Academic and Student Management	Award ceremony management	The activities involved in organising awards ceremonies[i]. Activities include: determining dates, times and venues for ceremonies; planning ceremonies; issuing invitations and/or tickets for ceremonies; designing programmes for ceremonies and arranging production and distribution; organising official photography of ceremonies; organising media coverage of ceremonies. [i] Award ceremonies include awards ceremonies and official events associated with ceremonies (e.g. receptions, lunches, dinners). See also ACADEMIC AND STUDENT MANAGEMENT - AWARD CEREMONY MANAGEMENT (PERMANENT)	1 year	Destroy
Academic and Student Management	Award ceremony management (permanent)	The activities involved in organising awards ceremonies Activities include: laureation addresses, graduation lists, photographs.	6 years	Archive
Research, Programme Provision and Publishing				

Research, Programme Provision and Publishing	Research business development	The activities involved in promoting the institution's research capabilities and profile, and in developing new research opportunities. Activities include: liaising with research sponsors to monitor their research policies and objectives, and to promote the institution's research capabilities, projects and achievements; identifying and developing new research opportunities; identifying and targeting research funding opportunities; identifying and developing opportunities for collaboration and partnership to undertake research.	6 years	Review / Destroy
Research, Programme Provision and Publishing	Research funding administration	The activities involved in obtaining and administering research funding through grants and contracts, and in co-ordinating the institution's relationships with funders. Activities include: preparing and submitting applications for funding; negotiating (where applicable) terms and conditions of funding; accepting/declining funding awards; administering funding in accordance with award terms and conditions (claiming payments from funders, re-allocating funds within budgets etc.); administering amendments to awards (e.g. supplements, extensions, early termination); submitting reports required by funders.	6 years	Review / Destroy
Research, Programme Provision and Publishing	Research programme development and review	The activities involved in developing the institution's research programmes, reports of routine internal and independent reviews of research programmes, data on, and analyses of, student numbers and other programme statistics.	6 years	Review / Destroy
Research, Programme Provision and Publishing	Research design and planning	The activities involved in designing and planning research projects. Activities include: generating, capturing and developing ideas for research projects; defining research aims and objectives; defining research methods; defining project roles and responsibilities; securing necessary ethical reviews and regulatory approvals; determining requirements for project resources; preparing research proposals.	10 years	Review / Destroy

Research, Programme Provision and Publishing	Research supervisor appointment and training	The activities involved in appointing research supervisors and in providing training for them.	1 year	Review / Destroy
Research, Programme Provision and Publishing	Research student academic supervision and support	The activities involved in monitoring, reviewing and supporting research students' progress Activities include: providing support and guidance to research students on subject selection; providing feedback to students on their progress; conducting formal reviews of student progress; providing students with general academic advice and guidance; providing students with opportunities to develop their research and other skills; providing advice and guidance to students whose progress is unsatisfactory or who are considering suspending or terminating their studies.	6 years	Destroy
Research, Programme Provision and Publishing	Research conduct	The activities involved in conducting research. Activities include: developing and establishing research protocols and procedures; obtaining approval for subsequent amendments to, or deviations from, protocols and procedures; carrying out research in accordance with project protocols and procedures, and with all legal and ethical requirements; identifying and reviewing issues and risks which arise in the course of research work, and taking appropriate action; obtaining approval for modifications to the design of research; managing research data. Depending on the discipline and on the nature of research, specific activities might also include: obtaining informed consent from participants in health-related studies; reporting adverse reactions or adverse events in clinical studies; consulting beneficiaries/consumers (e.g. in applied research); conducting surveys; handling of controlled substances and precursor chemicals. Consult relevant legislation for specific retentions.	10 years	Review / Archive

Research, Programme Provision and Publishing	Research project management	The activities involved in managing the conduct of research projects from formal initiation (following receipt of funding) to formal completion. Activities include: monitoring and tracking the progress of research; preparing reports for project stakeholders; arranging appropriate insurance; managing project resources and complying with institutional policies and procedures to protect project staff, participants and the environment; facilitating and assisting with monitoring activities and audits conducted by the institution, by external project sponsors/funders or by regulatory bodies; selecting research partners and subcontractors, and managing relationships with them; managing the process of offering research data to, and depositing it with, external research data archives, and ensuring future compliance with the terms and conditions of deposit.	6 years	Review / Destroy
Research, Programme Provision and Publishing	Research dissemination and publication	The activities involved in disseminating research results. Activities include: publishing research results; presenting research results at technical meetings. This category does NOT include interim or final reports to research funders, which are covered by RESEARCH PROJECT MANAGEMENT.	3 years	Review / Destroy
Research, Programme Provision and Publishing	Publication production	The activities involved in producing publications[i]. Activities include: planning and preparing content (commissioning, research, writing, editing) for publication; designing publications; producing publications. [i] Publications can be in any medium and format, including print, audio-visual, web pages and online information services. For the activities involved in storing final copies of publications for long-term reference see: INFORMATION AND COLLECTIONS STORAGE AND HANDLING.	1 year	Review / Destroy
Research, Programme Provision and Publishing	Publication marketing	The activities involved in marketing publications. Activities include: organising review of publications in appropriate journals; producing and distributing marketing materials.	-	Destroy

Research, Programme Provision and Publishing	Publication distribution	The activities involved in distributing publications internally or externally.	1 year	Review / Destroy
Knowledge Transfer and Enterprise				
Knowledge Transfer and Enterprise	Consultancy project delivery and management	The activities involved in providing consultancy and managing the conduct of consultancy projects from formal initiation to formal completion. Activities depend on the type of consultancy being provided. They might include: conducting research; conducting surveys/audits; providing advice; giving presentations; facilitating workshops; providing training; monitoring and tracking the progress of work; preparing reports for clients and other stakeholders; arranging appropriate insurance; managing project resources and ensuring compliance with institutional policies and procedures; maintaining project records.	6 years	Destroy
Knowledge Transfer and Enterprise	Consultancy prospect management (successful)	The activities involved in responding to enquiries about the consultancy services offered by the institution and in bidding for consultancy contracts. Activities include: handling enquiries about the institution's consultancy capabilities/availability/terms; preparing proposals/tenders for consultancy projects. Records documenting the preparation and submission of consultancy proposals/tenders, where the proposal/tender is successful (i.e. results in a contract): key records.	6 years	Destroy

Knowledge Transfer and Enterprise	Consultancy prospect management (unsuccessful)	The activities involved in responding to enquiries about the consultancy services offered by the institution and in bidding for consultancy contracts. Activities include: handling enquiries about the institution's consultancy capabilities/availability/terms; preparing proposals/tenders for consultancy projects. Records documenting the preparation and submission of consultancy proposals/tenders, where the proposal/tender is unsuccessful (i.e. does not result in a contract).	1 year	Destroy
Knowledge Transfer and Enterprise	IPR Protection	The activities involved in protecting the institution's Intellectual Property Rights (IPR). Activities include: applying for formal protection for intellectual property (i.e. granting of patents, registration of designs and trade marks); amending, cancelling or renewing existing protection; enforcing protection. For documenting the development and establishment of the institution's IPR exploitation strategy and policies, add STRATEGY DEVELOPMENT and POLICY DEVELOPMENT from the COMMON ACTIVITIES section.	6 years	Review / Destroy
Knowledge Transfer and Enterprise	IPR Assignment	The activities involved in selling or otherwise transferring ownership of the institution's Intellectual Property Rights (IPR) to third parties. Activities include: negotiating terms of IPR assignments; informing The (UK) Patent Office of the assignment; determining arrangements for revenue sharing between the institution and the inventor.	6 years	Review / Destroy
Knowledge Transfer and Enterprise	IPR Licensing	The activities involved in licensing the institution's Intellectual Property Rights (IPR) rights to external organisations. Activities include: negotiating terms of licences; registering licences (and cancelling licences) with The (UK) Patent Office; determining arrangements for revenue sharing between the institution and the inventor.	6 years	Review / Destroy

Knowledge Transfer and Enterprise	Related company formation	The activities involved in forming a specific related company. Includes subsidiary companies. Activities include: determining the constitution of the company; determining the control framework of the company and formalising the relationship between the institution and the company through a Memorandum of Understanding; appointing a Nominated Officer to act as the link between the institution and the company; where appropriate, drawing up a Shareholders Agreement; validating and approving the company's business plan; ensuring the establishment of an appropriate governance structure and rules for the company; ensuring the establishment of appropriate management structures and operating procedures for the company; ratifying the appointment of directors of the company.	-	Review / Archive
Knowledge Transfer and Enterprise	Related company management	The activities involved in ensuring that a specific related or subsidiary company is conducting business in line with the established agreements and relevant legislation.	6 years	Review / Destroy
Knowledge Transfer and Enterprise	Related company oversight and review	The activities involved in reviewing the performance of a specific related or subsidiary company. Activities include: reviewing the performance of the company against its plans, including budgets; ensuring that internal and external audits of the company are carried out and the results reported to the institution; ensuring that proper financial records are being kept by the company, and that proper accounts are prepared; ensuring that the company has proper procedures in place to comply with legislation relevant to its activities and operations.	6 years	Destroy
Knowledge Transfer and Enterprise	Related company exit / wind-up	The activities involved in disposing of the institution's investment in a specific related/subsidiary company OR in winding-up a specific related/subsidiary company.	6 years	Destroy

Knowledge Transfer and Enterprise	Commercial service operations management (Specialised businesses and clinics administration)	The activities involved in operating/providing a specific commercial service. The activities involved will depend on the type of service being provided. Some activities are common to many types of commercial services (e.g. handling enquiries; pricing). Other activities are specific to particular types of services (e.g. handling client/patient records). Examples could include records generated in the running of law clinics, vet clinics, sports centres, counselling services, careers services, immigration and visa advice services.	6 years	Destroy
Knowledge Transfer and Enterprise	Commercial service operations management (Medical clinic records)	The activities involved in administering dental and other medical clinic patient records. See Rationale for detail on retaining these records	-	-
Knowledge Transfer and Enterprise	Education and training programme development	The activities involved in developing education and training programmes which are not provided to the institutions students or staff, and for which a qualification or award is not given. Activities include: developing new programmes; making changes to existing programmes; withdrawing programmes.	6 years	Destroy
Knowledge Transfer and Enterprise	Education and training programme delivery	The activities involved in delivering education and training programmes which are not provided to the institution's students or staff, and for which a qualification or award is not given. Activities include: preparing teaching and learning materials; planning and conducting teaching and learning events.	1 year	Destroy
Knowledge Transfer and Enterprise	Education and training programme review	The activities involved in reviewing education and training programmes which are not provided to the institution's students or staff, and for which a qualification or award is not given, to inform ongoing programme development. Activities include: collecting and analysing participant numbers and other programme statistics; collecting, reviewing and responding to feedback on programmes from participants.	6 years	Destroy

Knowledge Transfer and Enterprise	Education and training contract management	The activities involved in negotiating and managing contracts with external organisations for the provision of bespoke education and training programmes which are not provided to the institution's students or staff, and for which a qualification or award is not given. Activities include: negotiating contract terms and conditions; negotiating subsequent variations to contracts.	6 years	Destroy
Strategy, planning, performance and quality				
Strategy, planning, performance and quality	Strategic planning	The activities involved in developing the institution's strategic plans[i]. Activities include: developing plans; reviewing plans. [i] Strategic plans are plans which set the academic aims and objectives of the institution and identify the financial, physical and staff strategies necessary to achieve these aims and objectives.	6 years	Review / Destroy
Strategy, planning, performance and quality	Strategic planning (Organisational / major strategy)	The activities involved in developing the institution's organisation-wide strategic plans. Records documenting the development and establishment of the institution's major strategy incl. environmental strategy	6 years	Review / Archive
Strategy, planning, performance and quality	Strategic planning (Operational / minor strategy)	The activities involved in developing the institution's operating strategic plans	6 years	Destroy
Strategy, planning, performance and quality	Strategic performance management	The activities involved in monitoring and reporting on the institution's performance against its strategic plans. Activities include: developing strategic performance indicators (SPIs); benchmarking against other comparable institutions; monitoring performance against strategic plans and SPIs.	10 years	Destroy
Strategy, planning, performance and quality	Organisational policies and procedures	The activities involved in development of the institution's organisation-wide policies and procedures. Examples might include people management, academic policies and procedures.	10 years	Review / Archive

Strategy, planning, performance and quality	Business intelligence and management information collection	The activities involved in collecting and maintaining business intelligence and management information. Activities include: receiving data from external organisations for information or further processing; specifying internal data to be submitted for central collation and maintenance; creating and maintaining corporate data sets.	6 years	Destroy
Strategy, planning, performance and quality	Business intelligence and management information analysis and reporting	The activities involved in analysing business intelligence and management information and producing reports. Includes both regular reporting and non-standard reports in response to ad hoc queries. Activities include: producing standard, routine analyses and reports; producing customised, ad hoc analyses and reports to meet individual requirements.	6 years	Destroy
Strategy, planning, performance and quality	Quality management scheme accreditation management	The activities involved in obtaining and maintaining accreditation under established external quality management schemes (e.g. EQUIS). Activities include: applying for accreditation; liaising with accreditation bodies; facilitating inspections/audits by accrediting bodies.	1 year	Destroy
Strategy, planning, performance and quality	Quality and standards management	The activities involved in documenting the conduct and results of formal internal and external reviews of quality and standards, and responses to the results.	6 years	Destroy
Strategy, planning, performance and quality	Quality marker submissions	The activities involved in completing submissions for the attainment of quality markers. For example REF, TEF, KEF records.	20 years	Destroy
Strategy, planning, performance and quality	Quality marker feedback	The activities involved in maintaining documents which outline feedback / analysis resulting from applications to obtain quality markers. For example REF, TEF, KEF records.	10 years	Destroy
Strategy, planning, performance and quality	Quality marker records results	The activities involved in maintaining the results of applications to obtain quality markers. For example REF, TEF, KEF records.	Permanent archival (review)	Archive

			every 10 years to ensure longevity and access)	
Strategy, planning, performance and quality	Operational policies and procedures	The activities involved in developing the institution's operating plans[i]. [i] Operating plans are those plans which identify the aspects of the institution's strategic plan being implemented within the scope of the operational plan. For example, some institutions may require organisational units within the institution to develop and implement annual operating plans.	6 years	Review / Archive
Strategy, planning, performance and quality	Health and safety policy	The activities involved in the development and management of the institution's health and safety policies and procedures, and any safeguarding policies and procedures.	40 years	Review / Archive
Strategy, planning, performance and quality	Operational performance management	The activities involved in monitoring the institution's performance against its annual operating plans. Activities include: developing key performance indicators (KPIs); benchmarking against other comparable institutions; monitoring performance against strategic plans and KPIs.	1 year	Destroy / Anonymise and compile for trend reporting over time

Strategy, planning, performance and quality	Corporate Project Management	The activities involved in administering and co-ordinating the institution's corporate projects. Activities include: Setting and embedding consistent standards and definitions of projects and project management to ensure a common approach to delivery; aligning corporate projects with the strategic and operational planning processes; providing resources support and best practice to project managers across the institution; providing guidance on project-related matters and advice on project management training and development; managing cross programme risks and dependencies; regular project reporting to manage costs, resources, timescales, and quality; maintaining a register of projects and management of the pipeline of new project requests; carrying out internal project health checks and coordination of independent assurance activity. For specific individual projects and programmes, use the function which the project's work supports.	10 years	Review / Destroy
Strategy, planning, performance and quality	Estates Capital Project Management	The activities involved in administering and co-ordinating the institution's Estates Capital projects. Activities include: Setting and embedding consistent standards and definitions of projects and project management to ensure a common approach to delivery; aligning corporate projects with the strategic and operational planning processes; providing resources support and best practice to project managers across the institution; providing guidance on project-related matters and advice on project management training and development; managing cross programme risks and dependencies; regular project reporting to manage costs, resources, timescales, and quality; maintaining a register of projects and management of the pipeline of new project requests; carrying out internal project health checks and coordination of independent assurance activity. For specific individual projects and programmes, use the function which the project's work supports.	15 years	Review / Destroy
Strategy, planning, performance and quality	Guides and templates	The activities involved in producing guides and templates internal to the institution.	3 years	Destroy

Corporate Governance and Risk Management				
Corporate Governance and Risk Management	Legal framework development	The activities involved in establishing and, where appropriate, changing the legal status of the institution.	-	Destroy / Archive
Corporate Governance and Risk Management	Governance framework development	The activities involved in developing and establishing the institution's governance structure and rules.	-	Destroy / Archive
Corporate Governance and Risk Management	Instruments and articles of governance	The activities involved in developing and maintaining records which set the responsibilities of non-executive directors, trustees, or governors in an organisation.	6 years	Destroy / Archive
Corporate Governance and Risk Management	Senior officers' appointments administration	The activities involved in appointing, electing or otherwise designating the institution's senior officers[i]. Activities include: setting terms and conditions for officers. Use PEOPLE MANAGEMENT - EMPLOYEE AND WORKER CONTRACT MANAGEMENT (STAFF FILES) for appointing all other staff.	6 years	Destroy / Archive

Corporate Governance and Risk Management	Statutory committee administration (central)	The activities involved in administering the work of the institution's statutory committees[i]. Activities include: establishing terms of reference for committees; developing and establishing rules and procedures for the conduct of committee business; appointing, electing or otherwise designating members of committees; providing induction and training for members of committees; arranging committee meetings; preparing agenda and supporting papers for committee meetings; recording minutes of committee meetings; taking/co-ordinating action to be carried out as a result of committee decisions; undertaking periodic formal reviews of the effectiveness and performance of committees; maintaining a register of interests of members of the governing body. [i] Statutory committees are the institution's governing body and other bodies which form part of the institution's governance structure as set out in its instruments of governance; standing committees of these bodies; joint committees of these bodies. For Metanoia, the governing body is the Board of Trustees and the other constitutional body is the Academic Board.	6 years	Review / Archive
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Corporate Governance and Risk Management	Non-statutory committee administration	The activities involved in administering the work of the institution's non-statutory committees[ii]. Activities include: establishing terms of reference for committees; developing and establishing rules and procedures for the conduct of committee business; appointing, electing or otherwise designating members of committees; providing induction and training for members of committees; arranging committee meetings; preparing agenda and supporting papers for committee meetings; recording minutes of committee meetings; taking/co-ordinating action to be carried out as a result of committee decisions; dissolving committees which are no longer required. For committees that do not have an institution-wide remit, add the COMMITTEE ADMINISTRATION activity (under COMMON ACTIVITIES) to the function that the committee's work supports. [ii] Non-statutory committees are committees which have an institution-wide remit, other than the institution's statutory committees.	6 years	Review / Destroy
Corporate Governance and Risk Management	Risk identification and assessment	The activities involved in identifying and evaluating risks to the institution.	1 year	Review / Destroy
Corporate Governance and Risk Management	Corporate Registers	The activities involved in creating, maintaining corporate registers which hold very limited, core information about processes undertaken. Records might include training, corporate risk, asbestos, waste management, incident, accident, document retention and record disposal registers.	Permanent archival (review every 10 years to ensure longevity and access)	Archive

Corporate Governance and Risk Management	Audit management	The activities involved in conducting audits. Activities include: conducting internal audits; facilitating the conduct of external audits; reviewing and responding to audit reports. For routine audits relating to a specific function or activity, add the AUDIT activity (under COMMON ACTIVITIES) to the relevant function.	6 years	Review / Destroy
Corporate Governance and Risk Management	Internal audit results	The activities involved in documenting the results of audits.	6 years	Review / Archive
Corporate Governance and Risk Management	Building audits results	The activities involved in the conduct and results of health and safety audits of the institution's land, buildings and/or facilities and action taken to address issues raised.	6 years	Review / Archive
Corporate Governance and Risk Management	Declarations of interest or gift	The activities involved in developing and maintaining records which outline and formally declare potential conflicts of interest amongst senior leadership and other members of staff.	1 year	Review / Destroy
Corporate Governance and Risk Management	Public interest disclosure (whistleblowing) investigation	The activities involved in handling allegations made by staff relating to the running of the institution or the activities of colleagues within the institution. Activities include: recording allegations; investigating and reporting on allegations, and determining any consequential action to be taken.	6 years	Destroy
Corporate Governance and Risk Management	Business continuity planning	The activities involved in anticipating incidents which would disrupt the institution's operations, and in developing response and recovery plans. Records documenting the formulation, testing and maintenance of disaster response and recovery plans.	1 year	Review / Archive

Corporate Governance and Risk Management	Organisational restructuring	The activities involved in changing the institution's organisational structure. Activities include: creating new business units[i]; merging/demerging or otherwise restructuring existing business units; closing business units. [i] Business units are individual components of the institution's organisational structure which, depending on its level in the structure and on its purpose, may be called any of the following: Directorate, division, department, section, team, college, faculty, school, unit, centre, institute.	6 years	Review / Destroy
Corporate Governance and Risk Management	Working / project groups	The activities involved in the setup, running, monitoring and close-down of working / project groups.	6 years	Review / Destroy
Corporate Governance and Risk Management	Safety committee administration	The activities involved in establishing and conducting safety committees. Records documenting the establishment of a safety committee to fulfil the institution's duty; development and review of health and safety policies / procedures. Includes records documenting the objectives, role, functions, composition and administration of the committee.	60 years	Review / Destroy
Corporate Governance and Risk Management	Employers' Liability Insurance Certificates	The activities involved in the maintenance of Employers' Liability Insurance Certificates.	40 years	Review / Destroy
Corporate Governance and Risk Management	Insurance policy management	The activities involved in establishing and maintaining insurance policies. Activities include: selecting, reviewing, renewing, amending and terminating insurance policies; liaising with insurers.	6 years	Destroy

Corporate Governance and Risk Management	Insurance claim administration	The activities involved in administering claims against insurance policies. Activities include: reviewing claims; liaising with insurers and claimants.	6 years	Destroy
Corporate Governance and Risk Management	Insurance claim outcomes	The activities involved in documenting the outcomes of claims against insurance policies.	40 years	Review / Destroy
Corporate Governance and Risk Management	Statistics	The activities involved in the creation, maintenance and processing of statistics. Records might relate to student numbers; taught programmes; institutional compliance to various laws and regulations (e.g. environmental, data processing).	6 years	Destroy / Anonymise and compile for trend reporting over time
Legal affairs management				
Legal affairs management	Legal advice provision	The activities involved in providing legal opinions and advice on matters requested by, and provided to, the institution. Activities include: providing advice on specific individual cases; providing advice on the interpretation of legislation affecting the institution's legal framework, governance, responsibilities or operations; proposals for new legislation affecting the institution's legal framework, governance, responsibilities or operations; the institution's relationships with government bodies and regulators; industrial relations issues; health, safety and environmental issues.	-	Destroy
Legal affairs management	Contracts and agreements management	The activities involved in managing the legal aspects of negotiating, establishing, maintaining and reviewing contracts and agreements.	6 years	Destroy
Legal affairs management	Contracts and agreements management (under deed)	The activities involved in managing the legal aspects of negotiating, establishing, maintaining and reviewing contracts and agreements signed under seal (by deed)	12 years	Review / Destroy

Legal affairs management	Contracts and agreements management (under hand)	The activities involved in managing the legal aspects of negotiating, establishing, maintaining and reviewing contracts and agreements signed under hand	6 years	Review / Destroy
Legal affairs management	Licensing	The activities involved in the creation and maintenance of licences including entertainment and drinks licences.	6 years	Destroy
Legal affairs management	Legal claims management	The activities involved in handling claims by or against the institution which do not proceed to litigation or to settlement by an agreement.	6 years	Destroy
Legal affairs management	Litigation management	The activities involved in managing legal actions by or against the institution. Activities include: briefing counsel; providing documents required by a court; consulting with other agencies.	6 years	Review / Archive
Money management				
Money management	Management accounting	The activities involved in monitoring and controlling the use of the institution's financial resources. See also RESEARCH, PROGRAMME PROVISION AND PUBLISHING - PUBLICATIONS (FINAL COPIES) for annual accounts, statutory accounts.	6 years	Destroy
Money management	Financial planning and budgeting	The activities involved in forecasting the institution's income, planning the utilisation of these resources and setting and managing budgets. Activities include: setting budgets (at corporate level and for individual business units); monitoring actual against planned expenditure; virement.	6 years	Destroy
Money management	Financial accounting	The activities involved in processing, recording, classifying and analysing financial transactions between the institution and third parties, and between the institution and its employees. Activities include: accounting for income; accounting for expenditure; accounting for payments (other than salaries) to employees; accounting for payments to honorary appointees and other third parties.	6 years	Destroy

Money management	Internal accounting	The activities involved in processing financial transactions between operating units (i.e. internal cross-charging).	6 years	Destroy
Money management	Asset management	The activities involved in collecting, recording and analysing information about the value of the institution's fixed assets for accounting purposes. Activities include: recording acquisition and disposal of fixed assets; valuing assets and calculating depreciation; writing off assets prior to disposal; maintaining an asset register.	6 years	Destroy
Money management	Statutory funding	The activities involved in documenting the administration of annual funding allocations from the appropriate statutory funding body.	10 years	Destroy
Money management	Statutory accounts	The activities involved in documenting the preparation of the institution's statutory accounts and returns See also RESEARCH, PROGRAMME PROVISION AND PUBLISHING - PUBLICATIONS (FINAL COPIES)	6 years	Destroy
Money management	Funding management	The activities involved in administering the institution's income[i]. Activities include: acknowledging receipt of funds; monitoring the use of funds and ensuring compliance with terms and conditions of funding; preparing reports and other information on the use of funds for funding providers. [i] Income includes funding allocated by HE funding councils for teaching, research and other purposes; research grants; research contract income; income from provision of other commercial services; income from endowments and trusts; donations; interest earned on cash balances and investments; fee income from short courses; income from sponsorship	6 years	Review / Destroy

Money management	Investment management	The activities involved in managing the institution's financial investment portfolio. Activities include: liaising with fund managers.	6 years	Destroy
Money management	Cash management	The activities involved in managing the institution's liquid assets.	6 years	Destroy
Money management	Purchasing	The activities involved in purchasing goods, works or services for the institution without tendering contracts. Activities include: setting purchasing authorisation limits; authorising purchasing and procurement; obtaining quotations or estimates; ordering; receiving and checking that goods, works or services are delivered as required; purchase order details, and goods received / goods inward notes; invoice processing; managing purchase cards.	6 years	Destroy
Money management	Supplier Approval	The activities involved in approving organisations or individuals as suppliers of goods, works or services to the institution. Activities include: issuing invitations to apply for approval; evaluating applications for approval; notifying applicants of evaluation outcomes.	1 year	Destroy
Money management	Contract tendering - successful bids	The activities involved in tendering contracts for the supply of goods, works or services to the institution. Activities include: preparing Invitations to Tender (ITT); defining tender evaluation and selection criteria; issuing ITTs; controlling the receipt and opening of tenders; evaluating tenders; negotiating and awarding contracts; reporting and publishing information about contracts awarded, where this is required by legislation.	6 years	Review / Destroy
Money management	Contract tendering - unsuccessful bids	The activities involved in tendering contracts for the supply of goods, works or services to the institution. Activities include: preparing Invitations to Tender (ITT); defining tender evaluation and selection criteria; issuing ITTs; controlling the receipt and opening of tenders; evaluating tenders; negotiating and awarding contracts; reporting and publishing information about contracts awarded, where this is required by legislation.	1 year	Review / Destroy

Money management	Contract management	The activities involved in managing contracts for the supply of goods, works or services to the institution. Activities include: monitoring supplier performance and taking appropriate action to deal with under-performance; handling complaints/disputes with suppliers; managing the transition of work to/from suppliers, where suppliers change.	6 years	Destroy
Money management	Tax management	The activities involved in managing the institution's tax affairs. Activities include: preparing and filing tax returns; managing the institution's obligations for collecting and paying VAT on goods and services.	6 years	Destroy
Money management	Payroll administration	The activities involved in administering the institution's employee payroll. Activities include: processing statutory payroll deductions; authorising and processing non-statutory and elective payroll deductions; transferring payroll payments; notifying employees of their employment-related tax liabilities; documenting calculation and payment of employees' salaries and other payments.	6 years	Destroy

Money management	Pension management	The activities involved in administering requests from staff to join or leave pension schemes, administering payments of the institution's employers' and employees' contributions to pension schemes[i], and other pension administration activities such as responding to correspondence from pension providers, and record-keeping. [i] Pension schemes may include the Universities Superannuation Scheme; Teachers' Pension Scheme (in England); Scottish Teachers' Superannuation Scheme (in Scotland); Local Government Pension Scheme. Please note, if, for whatever reason, it is difficult to calculate from date of birth, you can also do "termination of employment + 80 years" See also PEOPLE MANAGEMENT - PENSION SCHEMES ADMINISTRATION	110 years	Destroy
People Management				
People management	Employee and worker contract management (staff files)	The activities involved in managing the institution's contractual relationships with individual workers and employees. Activities include: maintaining complete and accurate records of individuals' recruitment (authorising recruitment; advertising vacancies; handling enquiries about vacancies; processing employment applications; DBS checks and Right to Work checks documentation); equality and diversity information, induction, performance management, disciplinarys (where a case is found), training and development records, occupational health and welfare, leave, pensions and termination; providing employment references for current and former employees. There may be additional record-keeping requirements if you are employing a sponsored migrant - see Rationale for a link to details.	6 years	Destroy

People management	Recruitment and selection (unsuccessful applicants)	The activities involved in recruiting employees to fill vacant positions, where an applicant is unsuccessful or withdraws their application Activities include: handling enquiries about vacancies; processing employment applications; processing equality and diversity information; reviewing and responding to unsolicited applications for employment, handling appeals to appointment decisions; reviewing and responding to unsolicited applications for employment.	6 months	Destroy
People management	Workforce planning	The activities involved in identifying the workforce competencies and numbers required to implement the institution's strategic plan and determining how to meet these requirements. Activities include: analysing the size, composition, structure and competencies of the institution's workforce; reporting on the composition of the institution's workforce to regulators; developing role (job) descriptions and conducting role evaluations to assign roles to grades/bands in a salary structure.	6 years	Review / Destroy
People management	Workforce induction	The activities involved in developing and implementing induction programmes for new employees. Activities include: developing general and role-specific induction programmes; administering induction programmes to ensure that all new employees complete the required programme. Use PEOPLE MANAGEMENT - EMPLOYEE AND WORKER CONTRACT MANAGEMENT (STAFF FILES) for staff training records.	6 years	Review / Destroy

People management	Workforce training and development	The activities involved in providing training and development opportunities for employees[i]. Activities include: identifying and analysing training and development needs; identifying and evaluating ways of meeting these needs; developing/selecting training and development programmes; monitoring take-up of training and development programmes; collecting and analysing feedback on training and development programmes; measuring the impact of training and development programmes. [i] This activity is intended to cover general personal and professional training and development for employees, and job-specific training for defined categories of employees. It is NOT intended to cover 'user training' (e.g. for specific internal systems or services) or other training which is an integral part of a function and activity. Use PEOPLE MANAGEMENT - EMPLOYEE AND WORKER CONTRACT MANAGEMENT (STAFF FILES) for staff training records.	6 years	Destroy
People management	Workforce wellbeing management	The activities involved in monitoring employee wellbeing, sickness and absences and ensuring compliance with legislation. Including provision of occupational health services and employee assistance programmes.	6 years	Destroy
People management	Workforce relations management	The activities involved in managing the institution's relationship with its workforce. Activities include: developing and implementing mechanisms for communicating with, and consulting, the workforce; conducting workforce surveys and reviewing and responding to the results.	6 years	Destroy / Anonymise and compile for trend reporting over time
People management	Workforce remuneration, reward and recognition management	The activities involved in developing and implementing workforce pay structures, reward and recognition schemes.	6 years	Destroy

People management	Equality, diversity and inclusion promotion	The activities involved in co-ordinating the institution's participation in initiatives designed to advance equality of opportunity and to foster good relations between persons who share a protected characteristic and persons who do not share it. Activities include: establishing institutional networks for staff and students who share a protected characteristic (e.g. LGBTQ+ network, BME network).	6 years	Review / Destroy
People management	Equality, diversity and inclusion monitoring	The activities involved in monitoring equal opportunities within the institution. Activities include: analysing data in relation to equality for men and women, disabled people, people of different ages and of different racial groups; preparing and submitting formal reports preparing publications required by the Equality Act 2010 (and related legislation); carrying out equality impact assessments.	6 years	Destroy / Anonymise and compile for trend reporting over time
People management	Industrial relations management	The activities involved in managing the institution's relationships with trades unions and labour organisations representing its workforce. Activities include: managing recognition and de-recognition of trades unions; managing communication and consultation with trades unions and labour organisations conducting collective bargaining on behalf of the workforce.	6 years	Review / Destroy
People management	Grievances, disciplinary, tribunals (no case found)	The activities involved in conducting a grievance, tribunal or performance review, in cases where an investigation or process has commenced, but is then found to have no basis.	6 months	Destroy

People management	Pension schemes administration	The activities involved in administering the institution's involvement with external pension schemes[i] of which its staff are members. [i] Pension schemes may include the Universities Superannuation Scheme; Teachers' Pension Scheme (in England); Scottish Teachers' Superannuation Scheme (in Scotland); Local Government Pension Scheme. This activity pertains to external pension schemes only. Internally run schemes are out of scope for this schedule.	6 years	Destroy
Facilities, location and environs management				
Facilities, location and environs management	Property development	The activities involved in developing [i] newly-acquired land and buildings and in redeveloping existing land and buildings. Activities include: undertaking feasibility studies; conducting consultations; developing specifications; preparing building plans; obtaining planning consents; obtaining permits for specific types of work; undertaking development works; inspecting completed works and arranging external inspections to obtain necessary certifications; planning and building regulations; (re)development plans and consents; floor plans; master copies; copies of floor plans; drawings; enhancement records; asbestos location plans and register; high voltage maintenance records; legionella locations plans, reports; risk assessments. [i] Developing land and buildings includes: changing the use of land and buildings; constructing new buildings or other structures; undertaking conservation or restoration work on land and buildings; extending, altering and reconfiguring land or buildings.	-	Destroy
Facilities, location and environs management	Facilities development - Property works (major)	The activities involved in developing new facilities and re-developing existing facilities. Activities include: specifying requirements; preparing design schemes; obtaining permits for specific types of work; inspecting completed works and arranging external inspections to obtain necessary certifications. For indoor facilities, activities include: decorating; installing fixtures, fittings	15 years	Review / Destroy

		and furnishings. For outdoor facilities, activities include: groundwork; gardening; installing fixtures, fittings and furniture.		
Facilities, location and environs management	Facilities development - Property works (minor)	The activities involved in developing new facilities and re-developing existing facilities. Activities include: specifying requirements; preparing design schemes; obtaining permits for specific types of work; inspecting completed works and arranging external inspections to obtain necessary certifications. For indoor facilities, activities include: decorating; installing fixtures, fittings and furnishings. For outdoor facilities, activities include: groundwork; gardening; installing fixtures, fittings and furniture.	6 years	Destroy
Facilities, location and environs management	Property acquisition	The activities involved in acquiring ownership or use of land or buildings through purchase, transfer, donation, lease or rental.	12 years	Destroy
Facilities, location and environs management	Property leasing-out	The activities involved in leasing land and buildings to third parties.	12 years	Review / Destroy
Facilities, location and environs management	Facilities maintenance	The activities involved in maintaining facilities Activities include: establishing and implementing planned maintenance programmes; carrying out reactive maintenance. See also FACILITIES, LOCATION AND ENVIRONS MANAGEMENT - HAZARD EXPOSURE CONTROL for references to any harmful or dangerous materials.	6 years	Review / Destroy

Facilities, location and environs management	Property maintenance	The activities involved in maintaining land and buildings. Activities include: establishing and implementing planned maintenance programmes; carrying out reactive maintenance. See also FACILITIES, LOCATION AND ENVIRONS MANAGEMENT - HAZARD EXPOSURE CONTROL for references to any harmful or dangerous materials.	6 years	Review / Destroy
Facilities, location and environs management	Property security management (Office and physical security)	The activities involved in proactively protecting land and buildings from accidental or intentional damage and in preventing unauthorised access. Activities include: conducting security inspections; conducting routine surveillance operations (e.g. guarding and patrol) to prevent and detect unauthorised access; access logs; the activities involved in the production, issuing and replacement of building access passes and cards, for students, faculty and staff. CCTV recordings should be routinely disposed more frequently than the retention given here, unless there is an investigation or other valid reason to keep footage.	1 year	Review / Destroy
Facilities, location and environs management	Nursery management	The activities involved in the running of nurseries, including safeguarding arrangements. Further detailed retentions can be found in the Rationale, which are too varied to list here.	60 years	Review / Destroy
Facilities, location and environs management	Equipment installation / commissioning	The activities involved in installing/commissioning equipment. Activities include: conducting pre-commissioning inspections/examinations/tests; conducting post-installation inspections/examinations/tests to ensure compliance with technical standards and/or legal requirements.	6 years	Review / Destroy
Facilities, location and environs management	Equipment and consumables storage	The activities involved in storing equipment and consumables. Activities include: monitoring storage conditions to ensure compliance with technical standards and/or legislation; monitoring the condition of items held in storage; maintaining the stock or asset inventory; monitoring and	6 years	Destroy

		maintaining stock levels; controlling the allocation/issue of items from storage.		
Facilities, location and environs management	Equipment inspection, testing and maintenance	The activities involved in maintaining the institution's equipment in sound working order to ensure compliance with legislation, technical standards etc. Activities include: conducting inspections and tests at planned or required intervals; undertaking planned preventive maintenance; repairing or modifying equipment in response to reported problems.	6 years	Destroy
Facilities, location and environs management	Waste management	The activities involved in collecting, classifying, storing, and disposing[iii] of the institution's waste[iv]. Activities include: conducting waste audits. [iii] Disposing means destruction by recycling or incineration or dumping into landfill. [iv] Waste means 'household waste', 'industrial waste' and 'commercial waste' as defined in the Controlled Waste Regulations 1992; 'special waste' as defined in the Special Waste Regulations 1996. For practical purposes, these categories include: office waste; catering waste; redundant equipment and consumables; redundant records; clinical waste; other hazardous waste. Use CORPORATE GOVERNANCE AND RISK MANAGEMENT - CORPORATE REGISTERS for the permanent register aspect - see Rationale.	3 years	Destroy
Facilities, location and environs management	Emergency planning	The activities involved in planning for the handling of health and safety incidents on the institution's premises which require the involvement of specially trained staff and/or the public emergency services. Including fire drills and fire alarm tests	6 years	Destroy
Facilities, location and environs management	Health and safety inspection	The activities involved in conducting health and safety inspections of the institution's premises and operations.	6 years	Destroy

Facilities, location and environs management	Incident recording, reporting and investigation	The activities involved in incident and accident management, not covered elsewhere in this schedule. Use CORPORATE GOVERNANCE AND RISK MANAGEMENT - CORPORATE REGISTERS for the permanent registers of incidents, and other permanent logs. Use INFORMATION AND COLLECTIONS MANAGEMENT - IT SYSTEMS SECURITY MANAGEMENT for routine system logs.	6 years	Review / Destroy
Facilities, location and environs management	Hazard exposure control (shorter term)	The activities involved in controlling the exposure of staff, students and others to hazards on the institution's premises or in other places affected by its operations. Activities include: fulfilling the institution's statutory duties; assessing the risks to health and safety created by e.g. using display screen equipment, exposure to noise; providing personal protective equipment; conducting health surveillance of employees; providing information, instruction and training for employees.	10 years	Review / Destroy
Facilities, location and environs management	Hazard exposure control (longer term)	The activities involved in controlling the exposure of staff, students and others to hazards on the institution's premises or in other places affected by its operations. Activities include: fulfilling the institution's statutory duties; letters from enforcing authorities for non-compliance; assessing the risks to health and safety created by exposure to regulated biological agents, lead, asbestos, ionising radiation; providing personal protective equipment. NB before disposing of any records in this category, double check current guidance as retentions are very long and guidance may change. 40 years is likely to be the minimum term.	40 years	Review / Destroy
Facilities, location and environs management	Hazard exposure control (training and monitoring)	The activities involved in documenting the provision of information, instruction and training for employees or conducting health surveillance of employees who are exposed to any of the substances listed in the scope for FACILITIES, LOCATION AND ENVIRONS MANAGEMENT - HAZARD EXPOSURE CONTROL (LONGER TERM)	10 years	Review / Destroy

Facilities, location and environs management	Equipment and consumables disposal	The activities involved in disposing[i] of surplus or redundant equipment and consumables. Activities include: authorising disposal; identifying and evaluating alternative methods of disposal; undertaking cleaning/sanitisation of equipment and consumables prior to disposal; providing any necessary certification (e.g. of safety) or documentation (e.g. maintenance history) to recipients of sold or donated equipment and consumables; where appropriate (e.g. for vehicles), administering transfer of ownership of equipment and consumables and retaining necessary documentation. Use MONEY MANAGEMENT - ASSET MANAGEMENT for writing-off surplus or redundant equipment. Use MARKETING, COMMUNICATIONS AND EVENT MANAGEMENT - OUTGOING DONATIONS MANAGEMENT for managing the process of donating equipment and consumables to external organisations. Use MONEY MANAGEMENT - FINANCIAL ACCOUNTING for processing financial transactions associated with the sale of equipment and consumables. [i] Disposing means physically removing from the institution's premises for return to the owner, donation to another organisation, sale or destruction.	1 year	Destroy
Facilities, location and environs management	Property disposal	The activities involved in disposing of land and buildings which are no longer required through sale, transfer, termination of lease, auction, donation or demolition. Activities include: obtaining valuations; undertaking surveys.	12 years	Destroy
Information and collections management				

Information and collections management	Information and collections acquisition and receipt	The activities involved in acquiring items (e.g. by purchase, donation, or unsolicited gift), and adding them to the institution's collections. Activities include: identifying and selecting publications to purchase; receiving and appraising archives, and returning or otherwise disposing of unwanted material; activities described in the SPECTRUM Acquisition and Object Entry procedures.	6 years	Review / Archive
Information and collections management	Information and collections organisation, cataloguing and description	The activities involved in organising, classifying, cataloguing, describing and indexing publications, objects or archives. Activities include: creating and maintaining records of the provenance, history and management of archives (including remedial conservation, de-accession and disposal); compiling and maintaining key information which formally identifies and describes objects in the institution's collections; developing business classification schemes; developing file plans; developing thesauri; developing metadata schemes.	6 years	Review / Archive
Information and collections management	Information and collections storage and handling	The activities associated with documenting the location of items, storing items, controlling and tracking the movement of items, and ensuring proper handling. Activities include: determining appropriate storage conditions; devising storage control systems; devising systems for converting records to alternative storage media; activities described in the SPECTRUM Location and Movement Control procedure.	1 year	Review / Destroy
Information and collections management	Information and collections access control	The activities involved in controlling access to items. Activities include: devising access/retrieval control systems; operating access/retrieval control systems; tracking the movement of items; supervising access to items under controlled conditions; activities described in the SPECTRUM Use of Collections Procedure. In the event of an incident or investigation, these records can be kept for longer.	20 years	Review / Destroy

Information and collections management	Information and collections maintenance and conservation	The activities associated with maintaining the physical form and intellectual content of items, including preserving the physical condition of publications, objects and archives. Activities include: undertaking condition surveys; applying conservation treatments to preserve, repair or restore the condition of items.	-	Destroy
Information and collections management	Information and collections disposal	The activities involved in disposing of redundant items. Activities include: authorising disposal of redundant records; preparing redundant records for disposal; de-accessioning and disposing of archives; activities described in the SPECTRUM Object Exit procedure. Use CORPORATE GOVERNANCE AND RISK MANAGEMENT - CORPORATE REGISTERS for final, permanent disposal logs.	6 years	Destroy / Anonymise and compile for trend reporting over time
Information and collections management	Information and collections promotion and exploitation	The activities involved in promoting the institution's collections and facilitating access to them. Activities include: developing guides, indexes and other interpretive materials; developing and organising events (e.g. temporary exhibitions, conferences, tours) and activities (e.g. workshops, lectures, demonstrations); assembling special loan collections of items and interpretive materials to support recreational activities and educational programmes; handling enquiries about collections.	1 year	Review / Destroy
Information and collections management	Publications (final copies)	The activities involved in storing final copies of publications for longer term reference. Records could include statutory accounts, annual accounts.	6 years	Review / Archive
Information and collections management	Records creation and capture	The activities associated with creating and capturing records. Activities include: determining recordkeeping requirements for individual business activities and processes.	6 years	Review / Destroy

Information and collections management	Records retention	The activities associated with retaining records for appropriate periods of time. Activities include: identifying requirements to retain records; developing records retention schedules; applying records retention schedules. See also CORPORATE GOVERNANCE AND RISK MANAGEMENT - CORPORATE REGISTERS	3 years	Review / Destroy
Information and collections management	Information legislation compliance	The activities involved in complying with legislation on data protection, freedom of information and access to environmental information. Activities include: notifying details of the institution's data controller to the Information Commissioner; maintaining records of processing activities and other accountability records; carrying out data protection impact assessments; handling data subject access requests; developing, publishing and maintaining the institution's Publication Scheme; handling requests for information held by the institution; handling requests for environmental information held by the institution.	3 years	Destroy
Information and collections management	Copyright compliance administration	The activities involved in administering the institution's compliance with legislation on copyright. Activities include: obtaining licences to use materials in which the copyright is not owned by the institution; monitoring use of such materials within the institution; administering payments to copyright licensing organisations.	6 years	Review / Destroy
Information and collections management	Copyright compliance Administration (unsuccessful applications)	Applications for permission to copy from published works which are not covered by Copyright Licensing Agency licences, where permission is not granted.	1 year	Destroy
Information and collections management	Copyright compliance statistics	Records documenting the compilation of statistical and other data required by the Copyright Licensing Agency, and the submission of this data to the Agency.	10 years	Review / Destroy
Information and collections management	Copyright compliance surveys	Results of surveys / audits undertaken by the Copyright Licensing Agency (provided to the institution by the Agency).	6 years	Review / Destroy

Information and collections management	Copyright compliance inspections	Records documenting the institution's participation in inspections undertaken by copyright owners or their representatives to check the institution's compliance with legal / contractual requirements.	6 years	Review / Destroy
Information and collections management	IT systems development	The activities involved in developing new ICT systems and re-developing existing systems. Activities include: specifying requirements; evaluating potential systems/solutions; installing systems; testing systems; commissioning systems; controlling changes to systems; decommissioning systems.	6 years	Destroy
Information and collections management	IT systems operations management	The activities involved in operating ICT systems. Activities include: monitoring system performance; reporting, investigating and resolving system faults; managing system data storage, including backup, migration, archiving [i] and deletion; maintaining appropriate system software licences. [i] "Archiving" in this context refers to the movement of data, records and/or information to cheaper "cold storage" for long-term preservation and differs slightly from the definition of "archives" given in the function scope note, reproduced here: Archives means records produced by the institution and permanently preserved because of the enduring value of the information they contain or the evidence they provide of the institution's functions and activities.	6 years	Destroy
Information and collections management	IT systems security management	The activities involved in managing access to, and use of, the institution's ICT systems. Activities include: opening, modifying and closing system user accounts; monitoring use of systems to ensure compliance with institutional policies and relevant legislation; responding to security breaches or incidents; sanitisation of ICT hardware before disposal, admin logs. In the event of an incident or investigation these records can be kept for longer.	1 year	Review / Destroy

Information and collections management	Data recovery	The activities involved in handling requests for data recovery. This is likely to be the maximum retention for such requests, partly due to storage limitations and data snapshots may also be out of date beyond this period. Your institutions data back-up policy will also inform this.	6 months	Destroy
Marketing, communications and events management				
Marketing, communications and events management	Corporate identity and brand management	The activities involved in managing the institution's corporate identity and brands. Activities include: designing the institution's corporate identity marks (logos, etc.); controlling use of corporate identity marks; compiling and ensuring use of corporate style guides.	-	Review / Archive
Marketing, communications and events management	Website development and content management	The activities involved in developing and maintaining the institution's website. Activities include: designing the website; developing policy on access, content and use; producing, editing and publishing content; monitoring website use; setting access permissions.	6 years	Destroy
Marketing, communications and events management	Communications management (external)	The activities involved in managing the institution's formal corporate communications with external stakeholders and the media. Activities include: making and handling general enquiries, suggestions and complaints; planning and issuing one-off and regular communications to alumni; producing newsletters, briefing papers and other publications intended for an HE sector audience; contributing to publications produced by others; conducting community surveys and consultations; liaising with government/ parliamentary bodies; requesting information from government bodies; responding to questions; handling requests for information. See also MARKETING, COMMUNICATIONS AND EVENTS MANAGEMENT - GOVERNMENT/PARLIAMENTARY INQUIRIES AND INVESTIGATIONS MANAGEMENT	6 years	Review / Destroy

Marketing, communications and events management	Stakeholder relationship management	The activities involved in developing and maintaining relations with stakeholder groups. Activities include: representing the institution on specific stakeholder representative bodies (e.g. HE/FE sector collaborative/representative bodies, local community organisations; establishing and managing collaborative relationships with organisations in the HE and FE sectors in the UK and elsewhere.	6 years	Review / Archive
Marketing, communications and events management	Enquiry management	The activities involved in documenting and responding to informal external and internal enquiries.	1 year	Destroy
Marketing, communications and events management	Complaints management	The activities involved in handling complaints. Activities include: recording complaints (if required for statistical or compliance purposes); providing initial responses to complaints; investigating complaints; providing final responses to complaints.	6 years	Destroy / Anonymise and compile for trend reporting over time
Marketing, communications and events management	Compliments management	The activities involved in handling compliments. Activities include: recording compliments (if required for statistical or compliance purposes); providing initial responses; feeding back compliments; providing responses to compliments.	1 year	Destroy / Anonymise and compile for trend reporting over time
Marketing, communications and events management	Alumni support	The activities involved in providing support to alumni, both individually and through alumni associations. Activities include: providing financial and other support to alumni associations; brokering contact with/between individuals.	6 years	Destroy
Marketing, communications and events management	Fundraising campaign management	The activities involved in undertaking fundraising campaigns. Activities include: designing fundraising campaigns; establishing fundraising campaign management structures; developing and implementing fundraising projects; communicating with donors; reviewing the effectiveness of campaigns.	6 years	Destroy

Marketing, communications and events management	Incoming donations management	The activities involved in receiving donations[i] to the institution, and in managing the institution's formal relationships with donors. Activities include: handling enquiries about donating; establishing mechanisms for donating; organising events for donors; communicating with donors. [i] Incoming donations to the institution includes money, estate, works of art, books, manuscripts and other items.	6 years	Review / Destroy
Marketing, communications and events management	Outgoing donations management	The activities involved in making donations[i] to other organisations or individuals. Activities include: identifying potential recipients for donations; liaising with potential donors; formally transferring funds/goods or initiating other arrangements. [i] Outgoing donations include money, goods, services, staff time (e.g. for voluntary work).	6 years	Review / Destroy
Marketing, communications and events management	Consultations management	The activities involved in (1) conducting formal consultations with/of organisations in the HE and FE sectors (2) responding to formal consultations conducted by external stakeholder bodies. Activities include: conducting internal consultation processes in order to 1) prepare consultation documents to be issued 2) conducting internal consultation processes in order to prepare formal corporate responses to consultation documents received.	1 year	Review / Destroy
Marketing, communications and events management	Government/Parliamentary inquiries and investigations management	The activities involved in participating in formal inquiries and investigations conducted by government or parliamentary bodies. Activities include: liaising with bodies carrying out inquiries and investigations; providing evidence to assist inquiries and investigations (e.g. by making formal submissions, by providing records or by making staff available).	10 years	Review / Archive

Marketing, communications and events management	Media monitoring	The activities involved in monitoring media coverage of the institution. Activities include: compiling summaries of media coverage; analysing and preparing reports on media coverage.	6 years	Destroy / Anonymise and compile for trend reporting over time
Marketing, communications and events management	Communications management (internal)	The activities involved in managing the institution's formal corporate communications with internal stakeholders Activities include: planning and issuing one-off and regular communications to staff and students; producing news articles and other publications; contributing to publications produced by others; responding to questions	3 years	Destroy
Marketing, communications and events management	Students' Union funding	The activities involved in providing funding for the institution's students' union.	1 year	Review/ Destroy
Marketing, communications and events management	Events management (one-off events)	The activities involved in organising events[i] for specific stakeholder groups. Activities include: determining dates and times; arranging venues, catering, security, transport etc.; planning programmes; issuing invitations; designing publicity materials (e.g. brochures, posters) and arranging production; designing event materials (e.g. delegate packs, menus) and arranging production; organising publicity (e.g. official photography, media coverage); issuing tickets; registering attendees; reviewing events; writing reports on events [i] Events include conferences, lettings, seminars, training events, ceremonies, celebrations and commemorations, tours, exhibitions, artistic performances, sporting events, lectures, church services, official visits etc.	6 years	Destroy

Marketing, communications and events management	Events management (recurring events)	The activities involved in organising events[i] for specific stakeholder groups. Activities include: determining dates and times; arranging venues, catering, security, transport etc.; planning programmes; issuing invitations; designing publicity materials (e.g. brochures, posters) and arranging production; designing event materials (e.g. delegate packs, menus) and arranging production; organising publicity (e.g. official photography, media coverage); issuing tickets; registering attendees; reviewing events; writing reports on events. [i] Events include conferences, lettings, seminars, training events, ceremonies, celebrations and commemorations, tours, exhibitions, artistic performances, sporting events, lectures, church services, etc.	1 year	Destroy
Marketing, communications and events management	Sponsorship management	The activities involved in officially sponsoring organisations, individuals or events. Activities include: identifying sponsorship opportunities; negotiating sponsorship deals.	6 years	Destroy
Marketing, communications and events management	Marketing campaign management	The activities involved in conducting marketing campaigns. Activities include: planning marketing campaigns; developing marketing campaigns; implementing marketing campaigns; reviewing marketing campaigns.	6 years	Review / Destroy
Marketing, communications and events management	Advertising management	The activities involved in advertising the institution's programmes, facilities and services. Activities include: designing advertisements; placing advertisement; monitoring the impact of advertisements.	6 years	Destroy / Anonymise and compile for trend reporting over time
Marketing, communications and events management	Market research	The activities involved in carrying out market research. Activities include: designing and developing market research tools; planning and conducting data collection; collecting, collating and analysing data.	3 years	Destroy / Anonymise and compile for trend reporting over time

