University of BRISTOL

Retention Schedule

Summary
This Schedule provides guidance for the University on the recommended retention periods for record series, accounting for legislative and regulatory requirements, best practice opens, existing policies and practices, and operational needs.

Scope
The Schedule applies to functional activities of the University and should be used by all staff working to business processes as formal guidance on how long to retain the designated categories of information.

Document Control			
Document type	Information Governance Policy – IGP-04		
Document owner	Records Manager		
Division	University Secretary's Office		
Lead contact	Records Manager		
Document status	Published		
Version	V.2		
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Date of original publication	July 2018	Revision frequency	3 years. Up to date until February 12 2028
Superseded documents	JISC Higher Education Retention and Disposal Schedule		
Related documents	Records Management and Retention Policy – IGP-03		

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Implementation Guidance – Principles to follow

The recommendations in the Schedule apply equally to records created, received, and maintained in hard copy and digital formats. The Schedule should be used in conjunction with other relevant Information Governance Policy documents which can be found on the University Secretary's Office website.

It is good practice to proactively dispose of records on a regular basis (at least once a year if not more frequently) if there is no automated disposition review applied to the system in which the record is stored. This helps make the process more manageable by keeping the quantity of records in your systems/storage locations to a manageable volume.

To help facilitate aggregated disposition and group business activities according to their business context and not location (team), an ancillary document, known as a Business Classification Scheme, has also been developed and can be found here.

New internal guidance on using the schedule can be found here.

Disposal actions need to be carried out when records are no longer 'current' (for example when a student has completed their studies with the University then their records are no longer active and can be reviewed). Retention periods will start to apply once a 'trigger' has been reached. For many of the record series for financial activities, this is the end of the financial year or an event-date, such as end of a contract. As a guiding principle: it is very rare for retention periods to start from the creation of a record.

In order to make the proactive disposal of information easier it is good practice to store information in a way that supports the eventual disposal process.

The University Archives holds the institutional memory of the University. Information transferred to the archive, in paper or digital form, is preserved permanently for staff, students, alumni and non-members of the University community. All transfers will undergo additional appraisal and will be subject to a closure period and GDPR access control as required.

For further advice and guidance on the implementation of the Records Retention Schedule and related policies please contact the Records Manager in the University Secretary's Office:

data-protection@bristol.ac.uk.

Disposal actions	
Secure disposal	Delete electronic version; shredding or recycling of paper. Handling instruction: if the records contain personal data or are classified Confidential or above it *must* be shredded using on-site 'Shred-it' facilities and not recycled).
Review	At the end of the retention period, owners of the information must review the value of the information to decide if it should be destroyed or kept for permanent preservation*
Transfer to Archive	Information identified for permanent preservation for reasons such as historical value should be transferred to the University Archive. To arrange transfer please contact special-collections@bristol.ac.uk.

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Business Classification Scheme

Corporate Governance, Compliance & Risk	**GCR**
Corporate governance	GCR.1
Committees	GCR.2
Risk management	GCR.3
Data & statistics	GCR.4
Statutory returns	GCR.5
Information legislation compliance	GCR.6

Strategy, Planning, Performance & Quality	**SPQ**
Strategy development	SPQ.1
Policies and procedures	SPQ.2
Guides, templates, and resources	SPQ.3
Operational planning	SPQ.4
Performance management	SPQ.5
Enquiry management	SPQ.6
Meeting administration	SPQ.7
Awareness raising	SPQ.8
Accreditation scheme management	SPQ.9
Managing the business	SPQ.10

Student and Academic Support Management	**SAS**
Admitting and enrolling students	SAS.1
Student academic record management	SAS.2
Conduct of assessments	SAS.3
Student appeals, complaints, and discipline	SAS.4
Graduation	SAS.5
Fees and bursaries management	SAS.6
UK Visas and Immigration (UKVI) monitoring	SAS.7

Teaching	**TEA**
Taught programme, review, and delivery	TEA.1
Student assessment	TEA.2
Timetabling	TEA.3

Commercial Research and Consultancy	**CRC**
Consultancy	CRC.1
Exploiting research and intellectual property	CRC.2
Specialised clinics	CRC.3

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Research and Publishing	RES
Research quality	RES.1
Research Excellence Framework (FEF) Management	RES.2
Research project development	RES.3
Research conduct	RES.4
Research project publication	RES.5

Marketing, Communications and Events	COM
Fundraising	COM.1
Brand management	COM.2
Internal communication	COM.3
External communication	COM.4
Web development and content management	COM.5
Enquiry management	COM.6
Complaints	COM.7
Survey and consultation management	COM.8
Relationship management	COM.9
Alumni administration	COM.10
Alumni communication management	COM.11
Students' union management	COM.12
Government/parliamentary inquiries & investigations management	COM.13
Event management	COM.14

Campus Management	CAM
Estate and property management	CAM.1
Property development	CAM.2
Property maintenance	CAM.3
Property compliance management	CAM.4
Property security management	CAM.5
Facility management	CAM.6
Environmental, energy and waste management	CAM.7
Accommodation and residential services	CAM.8
Commercial event organisation	CAM.9

Financial Management	FIN
Financial accounting	FIN.1
Financial planning and budgeting	FIN.2
Asset management	FIN.3
Tax management	FIN.4
Payroll and Pensions	FIN.5
Insurance management	FIN.6
Financial/internal audit	FIN.7

Procurement	PRO
Supplier approval and tendering	PRO.1
Contract management	PRO.2

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Health and Safety	HS
Health and safety management	HS.1
Accident and incident reporting	HS.2
Training and provision	HS.3
Risk assessment	HS.4
Employee health surveillance	HS.5
Occupational health management	HS.6

Information and Collections management	IAC
ICT systems development	IAC.1
ICT operations	IAC.2
ICT systems security	IAC.3
ICT systems user support	IAC.4
On-premises systems and Microsoft Office 365	IAC.5
Library services	IAC.6
Permission services	IAC.7
Research services	IAC.8
Publications management	IAC.9
Archives and Cultural collections management	IAC.10
Records management	IAC.11

Legal Affairs Management	LEG
Advice	LEG.1
Litigation	LEG.2
Intellectual property	LEG.3
Copyright licensing	LEG.4

People Management	HR
Workforce planning	HR.1
Recruitment	HR.2
Employee contract management	HR.3
Staff training and development	HR.4
Industrial relations	HR.5
Employee relations	HR.6.
Staff engagement	HR.7
Equality, diversity, and inclusion	HR.8

CGC. Corporate Governance, Compliance and Risk Management

The function of developing and establishing the corporate governance structure and rules, managing risks to the viability or success of the institution, and compliance to legal, statutory and ethical concerns.

REF	Functional Description (Activity)	Record Types	Retention Period	Action at end of Retention Period	Justification or legal requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
GCR.1	**CORPORATE GOVERNANCE**							**Governance**
GCR.1.1	Documenting the governance framework of the University	Charter, Ordinances, Regulations, Official Record, Privy Council – final copies and substantive drafts, i.e. documentation circulated for comment	Retain permanently **Note:** Non-substantive drafts can be destroyed from publication + 5	Transfer to University Archives: CY + 1	Institutional memory	Open	N	T4
GCR.1.2	Code of Practice		Retain permanently	Transfer to University Archives: CY + 1	Business requirement	Public	N	T4
GCR.1.3	Senior & executive appointments	Job applications; administration and interview notes; destroy unsuccessful	CY + 6	Secure disposal	Business requirement	Confidential	Y	SharePoint; Network Drives

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REF	Functional Description (Activity)	Record Types	Retention Period	Action at end of Retention Period	Justification or legal requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
		applications after 1 year						
GCR.1.4	Election reports and nominations		CY + 6	Secure disposal	Business requirement	Confidential	Y	SharePoint; Network Drives
GCR.1.5	Election voting lists	Ballot papers	CY + 1	Secure disposal	Business requirement	Confidential	Y	SharePoint; Network Drives
GCR.1.6	Public interest disclosures (whistleblowing)	Casework	Case closure + 6 **Note:** some cases should be appraised for their historical value and will be contained in the Audit and Risk Committee (ARC) Papers. In such instances, contact the University Archives.	Secure disposal	Limitation Act 1980	Confidential-Sensitive	Y	F2; ARC
GCR.1.7	Tribunal Case Files	Case Files	Retained permanently	Transfer to University Archives	Limitation Act 1980	Confidential-sensitive	Y	Limitation Act 1980
GCR.1.8	Subsidiary Companies	Formation, Proposals, Review, Winding-up	CY + 6 **Note:** An	Secure disposal	Business requirement	Confidential	Y	SharePoint; Network Drives

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REF	Functional Description (Activity)	Record Types	Retention Period	Action at end of Retention Period	Justification or legal requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
			international subsidiary may be subject to the laws, and thus variation in retention, of other countries					
GCR.1.9	Register of interests		CY (end of tenure) + 6	Secure disposal	Business requirement	Confidential	Y	SharePoint; Network Drives
GCR.1.10	Schedule of delegation		CY + 6	Secure disposal	Business requirement	Confidential	Y	SharePoint; Network Drives
GCR.2	**COMMITTEES**							**Divs. & Fclts.**
GCR.2.1	Recorded decisions of strategic decision-making bodies reporting to Statutory Bodies – these are: -Academic, Board of Examiners - Faculty/School Committee - Academic Assembly -Academic Leadership Board - Audit Committee *Cntd. on next page ...*	Agendas, Minutes, Papers, Terms of Reference, endowments (if applicable)	Retain permanently One complete set of unredacted agendas, papers, and minutes to be deposited in the University Archives.	Transfer to University Archives: CY + 1	Business requirement	Confidential **Note:** Some minutes may be redacted and published to all staff making them 'Open'	Y	SharePoint; Network Drives

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REF	Functional Description (Activity)	Record Types	Retention Period	Action at end of Retention Period	Justification or legal requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
	- Audit & Risk Committee - Biosafety Committee - Board of Trustees - Court - Education & Student Experience Committee - Finance & Investment Committee - Honorary Degrees Committee - Health and Safety Committee -Operations Board - Research Committee - University Executive Board - Senate - Ruding Bryan Committee							
GCR.2.2	Recorded decisions of strategic decision-making bodies (non-statutory) – these are: - Academic Ethics - Academic Portfolio	Agendas, Minutes, Papers, Terms of Reference	CAY + 10	Secure disposal	Business requirement	Confidential	Y	SharePoint; Network Drives

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REF	Functional Description (Activity)	Record Types	Retention Period	Action at end of Retention Period	Justification or legal requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
	Board - Academic Staff Committee - Capital Portfolio Board Education Committee - Ethics of Research Committee - Equality, Diversity, and Inclusion Committee (EDI) - Health and Safety committees/groups - Human Resources Committee - Infrastructure Planning Committee - Nominations Committee - Remuneration Committee - University Doctoral Studies Committee -University Ethics Committee								
GCR.2.3	Recorded decisions of operational decision-	Agendas, Minutes, Papers,	CY + 6	Secure disposal	Business requirement	Confidential	Y	SharePoint; Network Drives

REF	Functional Description (Activity)	Record Types	Retention Period	Action at end of Retention Period	Justification or legal requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
	making bodies such as team meetings and board groups – these are: - Awards Committee - Chancellor's Prize Committee - Disciplinary Committee - Grievance Committee - IT Committee Cntd. on next page …	Terms of Reference						
	- Senior Academic Appointments Committee - Student Academic Appeals Committee - Student Appeals Panel - University Management Team - Ways of Working Portfolio Board	Agendas, Minutes, Papers, Terms of Reference	CY + 6	Secure disposal	Business requirement	Confidential	Y	SharePoint; Network Drives
GCR.2.4	Committee membership	Training, member lists	End of tenure + 6	Secure disposal	Business requirement	Confidential	Y	SharePoint; Network Drives

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GCR.3	**RISK MANAGEMENT**							**Divs. & Fclts.**
GCR.3.1	Identifying and assessing the level of risk to the University	Requirements and specification; risk assessments	CY (or cessation or risk) + 3 **Note**: risks relating to substances hazardous to health should be kept until the elimination of risk + 6 years OR updating of assessment + 50 years. See HS.5	Secure disposal	Limitation Act 1980	Confidential	N	
GCR.3.2	Managing the risk register	Risk register	CY + 3	Secure disposal	Business requirement	Confidential	N	
GCR.3.3	Business continuity	Business continuity plans, major incident, and disaster plans	Superseded + 5 **Note:** some plans should be appraised for their historical value, such as COVID. In such instances, contact University	Secure disposal	Business requirement	Confidential	N	

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			Archives.					
GCR.3.4	Incident recording	Debrief reports, logs, and papers reported to committees; data protection breaches; environmental incidents; health & safety incidents (e.g. accidents, dangerous occurrences, and outbreaks of disease); etc. **Bronze:** Operational **Silver:** Tactical	See local incident management retention periods Local retention periods apply; however, there will be oversight records held by Strategic Planning & Transformation	Secure disposal	Business requirement	Confidential	N	SharePoint; network drives

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REF	Functional Description (Activity)	Record Types	Retention Period	Action at end of Retention Period	Justification or legal requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
		Gold: Strategic function (SPT) Local retention periods also apply, but SPT will hold records that may be appraised as historically important by the University Archives.					
GCR.4	**DATA AND STATISTICS**							**SP&T**
GCR.4.1	Anonymised management statistics **Note**: The record types captured here are those held centrally utilising raw and synthesised data held across Faculties and Professional Services, and within university enterprise systems. The same retention period applies to data held locally – for example,	Student number and fee projections; IPP Data Insights, includes metrics covering National Student Survey, Staff Experience Survey, Staff Workforce, Academic Cash Contributions, Research	CAY + 5	Secure disposal	Business requirement	Confidential	N	SharePoint

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REF	Functional Description (Activity)	Record Types	Retention Period	Action at end of Retention Period	Justification or legal requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
	data and analyses of student numbers & taught modules to demonstrate compliance with equal opportunities legislation	Citations, Staff: Student Ratios; Management Information, includes size, shape and cost reporting around student programmes, units, and teaching activity; Goals and SPIs.						
GCR.4.2	Anonymised management statics for requests made under DPA and FOI/EIR	Analyses and reports of requests for access to personal information	CAY + 10	Secure disposal	Information Commissioner's Office (ICO)	Public	N	SharePoint
GCR.4.3	Management statistics containing personal information		CAY + 3	Secure disposal	Business requirement	Confidential	Y	SharePoint
GCR.5	STATUTORY RETURNS							Divs. & Fcts.
GCR.5.1	Communications with government,	Enquires, responses and	CY + 6	Transfer formal responses to	Limitation Act 1980	Confidential	Y	SharePoint; Network Drives

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REF	Functional Description (Activity)	Record Types	Retention Period	Action at end of Retention Period	Justification or legal requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
	parliamentary or statutory bodies, including HEFCE and HESA	briefing packs; data quality checks		University Archives				
GCR.5.2	Responding to surveys and consultations from government, parliamentary and statutory bodies, including HEFCE and HESA	Formal responses	CY + 5	Transfer to University Archives	Limitation Act 1980	Confidential	Y	SharePoint; Network Drives
GCR.5.3	Formal participation in governmental, parliamentary, or public enquiries	Enquiry reports and correspondence	CY + 3	Transfer to University Archives	Limitation Act 1980	Confidential	Y	SharePoint; Network Drives
GCR.6	**INFORMATION LEGISLATION COMPLIANCE**							**Information Compliance**
GCR.6.1	Upkeep of the University's notification of data controller details to the Information Commissioner's Office	ICO Notifications and certificates; casework	CY + 3	Secure disposal	Business requirement	Confidential	Y	SharePoint
GCR.6.2	Development and maintenance of the University's Publication	Publication scheme	Superseded + 3	Secure disposal	Freedom of Information Act 2000	Public	N	Legal Services & Secretariat Management

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REF	Functional Description (Activity)	Record Types	Retention Period	Action at end of Retention Period	Justification or legal requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
	Scheme, as required by the FOIA							Team
GCR.6.3	Handling of requests received under information rights legislation	Data Subject Access Requests, Freedom of Information Requests, and Environmental Information Regulation Requests; ICO appeals, casework, and internal reviews; third-party requests	CY + 6	Secure disposal	Freedom of Information Act; Environmental Information Regulations; Data Protection Act 2018	Confidential **Note:** Where possible, information should be made publicly available in spirit of open access legislation and cited in university publication scheme	Y	SharePoint; F2
GCR.6.4	Managing privacy related business matters	Data Protection Impact Assessment; Breach incidents; Advice and guidance; Casework	End of use + 6 years	Secure disposal	Data Protection Act 2018	Confidential	Y	SharePoint; OneTrust; F2
GCR.6.5	Managing university processing activities and assets	Record of Processing Activity Register,	Superseded + 3	Secure disposal	Data Protection Act 2018	Open	Y	SharePoint; OneTrust; F2

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REF	Functional Description (Activity)	Record Types	Retention Period	Action at end of Retention Period	Justification or legal requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
		Information Asset Register and Returns; Data Privacy Impact Assessment						

SPQ. Strategy, Planning Performance and Quality

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, and managing overall quality in the institution. Also includes common business activities such as handling enquiries and administering meetings.

REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or legal requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
SPQ.1	**STRATEGY DEVELOPMENT**							**Divs. & Fclts.**
SPQ.1.1	Approved strategic plans and policies	Institutional strategies and plans; final policy documents – including major drafts circulated for comment; Memorandums of Understanding (MoU)	CY + 1	Transfer to University Archives	Institutional memory	Open	N	SharePoint; Faculties and Professional Services

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SPQ.1.2	Developing and updating strategies and policies	Working papers – these are specifically not major drafts circulated for comments	Superseded by new strategy or policy	Delete	Business requirement	Open	N	SharePoint
SPQ.2	**POLICIES AND PROCEDURES**							**Governance**
SPQ.2.1	Approved operational procedures and guidance	Final procedures, guidance, and published processes; team plans; operating models	Superseded + 6	Secure disposal	Business requirement	Open/Confidential **Note:** Some policies are publicly available on T4, but some are internally facing only.	N	SharePoint
SPQ.2.2	Developing procedures and guidance	Working papers	Superseded by new procedure or guidance	Secure disposal	Business requirement	Confidential	N	SharePoint; Network Drives
SPQ.3	**GUIDES, TEMPLATES AND RESOURCES**							**Divs. & Fclts.**
SPQ.3.1	Published staff resources	All staff guidance, incl. Line Managers;	Superseded	Secure disposal	Business requirement	Open	N	Faculties and Professional Services
SPQ.3.2	Desk instructions	Localised how-to processes	Superseded	Secure disposal	Business requirement	Open	N	Faculties and Professional

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								Services
SPQ.4	**OPERATIONAL PLANNING**							**SP&T**
SPQ.4.1	Managing projects and programmes	Project Initiation Document (PID); Highlight Reports; Project Plans; Business Case; Closure reports; Minutes and Papers; Project workbook; Lessons learned documents	End of project + 6 years **Note:** Some projects may be of historical value and should be appraised by University Archives.	Secure disposal or transfer to University Archives	Business requirement	Confidential	Y	SharePoint
SPQ.4.2	Managing projects and programmes	Finance Tracker Actuals; PM3 spend tab; highlight report; Project workbook	End of project + 6	Secure disposal	Business requirement	Confidential	N	PM3
SPQ.5	**PERFORMANCE MANAGEMENT**							**Divs. & Fclts.**
SPQ.5.1	Reporting on the University's performance against its strategic plans		CFY +10	Secure disposal	Business requirement	Confidential	N	SharePoint
SPQ.5.2	Data analysis of the	Annual operating	CFY + 6	Secure disposal	Business	Confidential	N	SharePoint

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or legal requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
	University's performance against its strategic plans	plans, benchmarking exercises, performance analysis			requirement			
SPQ.5.3	Developing and monitoring of the University's Key Performance Indicators (KPIs)		Superseded +1	Secure disposal	Business requirement	Confidential	N	SharePoint
SPQ.6	**ENQUIRY MANAGEMENT**							**Divs & Fclts.**
SPQ.6.1	Handling of complaints and advice to internal and external sources **Note:** for student appeals, complaints, and discipline, see SAS.6; staff grievance see HR.8.1; external complaints, COM.7	Complaints casework, includes students, staff, and the public	Last action + 5	Secure disposal	Business requirement	Confidential	Y	Email Exchange
SPQ.6.2	Provision of internal and external (non-legal) advice	Advice and guidance provided to a business area, members of staff,	CY + 5 **Note:** For provision of legal advice see	Secure disposal	Business requirement	Confidential	N	Email Exchange

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or legal requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
		students, or external organisations	LEG.1.1					
SPQ.7	**MEETING ADMINISTRATION**							**Divs. & Fclts.**
SPQ.7.1	Working groups	Agendas, Minutes, notes, papers, resolutions, arrangement (date, time, venue)	CY + 10 **Note:** Some working groups may be of historical value and should be appraised by University Archives.	Secure disposal	Business requirement	Confidential	Y	SharePoint
SPQ.7.2	Administering routine business meetings **Note:** For Committees, see Committees GCR.2	Agendas, Minutes, notes, actions, arrangement	CY + 3	Secure disposal	Business requirement	Confidential	Y	Email Exchange
SPQ.8	**AWARENESS RAISING**							**SP&T**
SPQ.8.1	Designing and implementing campaigns to raise staff and student awareness	Environmental sustainability issues; equality, diversity, and inclusion issues, etc.	Completion of campaign + 5	Secure disposal	Business requirement	Confidential	N	SharePoint

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SPQ.9	**ACCREDITATION SCHEME MANAGEMENT**							**Divs. & Fclts.**
SPQ.9.1	Applying for accreditation **Note:** There are specific mentions to functional accreditation schemes in SAS.3.2, TEA.1.1, IAC.10.3, and HR.10.1. The lines in the SPQ.9,	Submissions	CAY + 6	Secure disposal	Business requirement	Confidential	Y	SharePoint; Network drives
SPQ.9.2	Receipt of accreditation	Certificates, evidence of status	CAY + 6	Secure disposal	Business requirement	Confidential **Note:** Anonymised evidence may be made public	N	SharePoint
SPQ.9.3	Liaising with accreditation bodies		CAY + 6	Secure disposal	Business requirement	Confidential	Y	Email exchange
SPQ.9.4	Facilitating audits, inspections by approving bodies	Workplace audits	CAY + 6	Secure disposal	Business requirement	Confidential	Y	Email exchange
SPQ.10	**MANAGING THE BUSINESS**							**Divs. & Fclts.**
SPQ.10.1	Managing day-to-day, administrative tasks	Rotas and annual leave; staff	CY + 1	Secure disposal	Business requirement	Confidential	Y	SharePoint; Network drives

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or legal requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
	Note: This entry is to provide guidance at a high-level that can be grouped as corporate administration. There are lots of other entries in the schedule which could also be classed as routine business administration; the purpose of this line is to capture low-value information that is only valuable for a short period of time.	welcome fairs; annual work plans; workshop materials; meeting notes; events attendance; minor drafts and amendments;						
SPQ.10.2	Managing mailing lists		Superseded or no longer current + 1	Secure disposal	Business requirement **Note:** Consent, marketing and public task	Confidential	Y	SharePoint; Network Drives; Enterprise Systems

SAS. Student and Academic Support Management

The function of managing the interactions between students, academics and their course materials, and administering the institution's academic work.

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
SAS.1	**ADMITTING AND ENROLLING STUDENTS**							**Divs. & Fclts.**
SAS.1.1	Development of admissions criteria		Retain permanently	Transfer to University Archives	Business requirement	Confidential	N	External Relations
SAS.1.2	Successful applications **Note:** For student recruitment campaigns, see COM. 2.7	Application form; expression of interest; interview notes; tests, offer and acceptance of place	Graduation or departure + 6	Secure disposal	Business requirement	Confidential	Y	SITS; SharePoint
SAS.1.3	Unsuccessful applications		CY + 1	Secure disposal	Equality Act 2010	Confidential	Y	SITS; SharePoint
SAS.1.4	Assessing the suitability of candidates	DBS data, conviction disclosures	End of recruitment + 6 months	Secure disposal	DBS	Confidential	Y	
SAS.1.5	Managing criminal convictions disclosures	Conviction disclosures	Graduation or departure + 6	Secure disposal	Limitation Act 1980	Confidential	Y	
SAS.1.6	Establishing and monitoring the Right to Study	Right to Study (Tier 4)	Last interaction with student + 6	Secure disposal	OISC Code of Opens 2016	Confidential	Y	
SAS.2	**STUDENT PERMANENT ACADEMIC RECORD MANAGEMENT**							**Divs. & Fclts.**
SAS.2.1	Managing the individual core student record relating to registration and academic performance	Transcript (interim and official); Periods of study; programme(s) of	Retained permanently	Secure disposal	Business requirement	Confidential	Y	Student and Academic Services

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
		study; modules studied; degree and module marks, outcome; graduation date (ask business)						
SAS.2.2	Additional student data collected as part of studies but not part of key records including information on supervision, training etc.	Information gathered at application, registration, and during period of study that is not referenced above, may include: information on academic appeals, complaints, discipline (see REF); fitness to study, iv. Disability and similar support (see REF); references from the University; VISA information	Graduation or departure + 6	Secure disposal	Limitations Act 1980 **Note:** Some courses (such as Medicine) may choose to retain additional student data for longer due to sector regulatory requirements, such as by PSRBs.	Confidential	Y	

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		(see UKIV); health related information; family information; training course attendance; student awards and prizes; withdrawal, suspension, conduct; detailed course transfers						
SAS.3	**ASSESSMENT**							**Divs. & Fclts.**
SAS.3.1	Assessing the quality of teaching (informal and external reviews) and responding to those assessments	External reviews; Formal student feedback	Retain permanently	Transfer to University Archives	Business requirement	Confidential	Y	Education Services
SAS.3.2	Obtaining external accreditation of a programme/module	Accreditation evidence **Note:** For assessed work see TEA.2	CAY + 5		Accrediting bodies requirements	Confidential	N	AQPO and Schools
SAS.3.3	Internal reviews of	Reports and	CAY + 10		Business	Confidential	N	AQPO

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
	university teaching quality and opens	working papers			requirement			
SAS.3.4	Management and administration of examinations	Examination attendance; Alternative exam arrangements including sitting exams overseas	CAY + 1	Secure disposal	Business requirement	Confidential	Y	SITS; e-vision; SharePoint; Blackboard
SAS.3.5	Appointment and selection of external examiners	Examiner recruitment applications and assessment; correspondence; examiner reports	Termination of role +1	Secure disposal	Business requirement	Confidential	Y	
SAS.3.6	Appointment and selection of examination invigilators	Correspondence	CAY + 1	Secure disposal	Business requirement	Confidential	Y	
SAS.3.7	Placements	Progress monitoring	CAY + 3	Secure disposal	Business requirement	Confidential	Y	
SAS.3.8	Managing short and online courses	Pathway programs	CAY + 3	Secure disposal	Business requirement	Confidential	Y	
SAS.4	**STUDENT & ACADEMIC SUPPORT, APPEALS, COMPLAINTS & DISCIPLINE**							**Divs. & Fclts.**
SAS.4.1	Academic appeals	Appeals files, coursework extensions; exceptional	Graduation or departure + 6	Secure disposal	Limitation Act 1980	Confidential	Y	Student Resolution Service / Legal Services

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
		circumstance; self-certification						
SAS.4.2	Handling complaints by individual students	Complaint files; Student Complaints received by Office of the Independent Adjudicator (OIA)	Graduation or departure + 6	Secure disposal	Limitation Act 1980	Confidential	Y	Student journey; SharePoint and Network drives
SAS.4.3	Handling support and disciplinary procedures for individual students	Disciplinary proceedings, plagiarism cases, unfair means outcomes letters; Support to Study referral forms; Student inclusion activities, such as peer support	Graduation or departure + 6	Secure disposal	Limitation Act 1980	Confidential	Y	Student journey; SharePoint and Network drives
SAS.4.4	Handling and outcomes of fitness to practice procedures against individual students	Decisions; Case notes;	Student enrolment + 55	Secure disposal	Business Requirement – informed by Professional, Statutory &	Confidential	Y	

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
					Regulatory Bodies			
SAS.4.5	Managing wellbeing for students	Casework, medical notes, care plans, appointments	Graduation or departure + 6	Secure disposal	Limitation Act 1980	Confidential-sensitive	Y	
SAS.4.6	Managing disability support for students	Support plans, reasonable adjustments, diagnostics and medicals, support funding	Graduation or departure + 6	Secure disposal	Equality Act 2010	Confidential	Y	
SAS.4.7	Handling student enquiries	Student appointments, correspondence	Graduation or departure + 5	Secure disposal	Business requirement	Confidential	Y	
SAS.4.8	Careers advice	CVs, appointments, Bristol Plus Award Application Mentor Scheme,	Graduation of departure + 3	Secure disposal	Business requirement	Confidential	Y	

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
SAS.4.9	Student induction	Induction programmes, event planning, specialised induction (e.g. mature students)	Superseded + 6 **Note:** Single copy of flyers, printed programmes etc. will be appraised by the University Archives for their historical value.	Shred it; or transfer single copy to University Archives	Business requirement	Confidential	Y	
SAS.5	**GRADUATION**							**EAO**
SAS.5.1	Organising award ceremonies	Operational planning documents	CY + 1		Business requirement	Open	N	Events Management & Graduation; SITS, e-vision (ITS)

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
SAS.5.2	Prizes awarded	Evidence of prizes awarded	Retain permanently **Note:** Administration of prize awards, such as work-up documentation, award considerations and contextual documentation, can be destroyed 5 years after the event.	Transfer to University Archives	Business requirement	Public	Y	Graduation
SAS.6	**FEES AND BURSERIES MANAGEMENT**							**Finance**
SAS.6.1	Application and award of financial assistance	Bursaries and scholarships, charges and fees, maintenance grant requests, hardship funds, allowances, and non-payment of fees	Graduation or departure + 6	Secure disposal	Business requirement	Confidential	Y	SharePoint, Network Drives, Dynamics, HEP-Services Portal
SAS.7	**UK VISAS & IMIGRATION (UKVI) MONITORING**							**Divs & Fclts.**

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
SAS.7.1	Assessing student visa status		Until the student is no longer sponsored + 1, or until a Home Office compliance officer has examined and approved the documentation + 1 (whichever is longer)	Secure disposal	Business requirement	Confidential	Y	Student Visas; SITS (Student Visa Advice Database)
SAS.8	**HONORARY DEGREES**							**Governance**
SAS.8.1	Honorary degrees committees	Nominations, selections; issuing offers	Retain permanently	Transfer to University Archives	Institutional memory	Confidential	Y	

TEA. TEACHING

The function of providing teaching to deliver the University's taught programmes, managing the interactions between students, academics, and their course materials.

REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
TEA.1	**TAUGHT PROGRAMME MANAGEMENT**							**Divs & Fclts.**
TEA.1.1	Obtaining approval and/or accreditation for	Programme Approval Forms	Life of programme +	Secure disposal	Business requirement	Open	N	Education Administration

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
	(modules of) taught programmes from professional, statutory, or other accreditation bodies.	and documentation; Programme Modification Forms; Curriculum Change records	6 **Note:** There may be a requirement to retain module descriptions associated with specific awards permanently to effectively discharge requirements to produce diploma supplements, for example from medical graduates requesting proof of module completion for work.					Office, AQPO
TEA.1.2	Examination and assessment guidelines and handbooks	Faculty Board recommendation papers	Superseded + 10	Secure disposal	Business requirement	Confidential	N	
TEA.1.3	Formal reviews of individual taught courses	Responses to results	CY + 6	Secure disposal	Business requirement	Confidential	N	
TEA.1.4	Student feedback on individual taught	Anonymised summaries	CAY + 6	Secure disposal	Business requirement	Confidential	Y	Education Administration

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
	courses							Office, AQPO
TEA.1.5	Routine module and programme administration	Student-led attendance via app. **Note:** There are some centrally supported self-service reports for schools, faculties, and central teams.	End of programme + 1	Secure disposal	Business requirement	Confidential	Y	CampusM
TEA.1.6	Blackboard web pages and reading lists		End of course + 1 **Note:** Some course materials could be retained as a sample for historical reference.	Secure disposal; or transfer to University Archives.	Business requirement	Confidential	N	
TEA.2	**ASSESSMENT**							**EAO**
TEA.2.1	Verifying student registration and academic performance	Graduation lists (student name, faculty, award, and classification); Degree	CAY + 5	Transfer to University Archives	Business requirements	Confidential	Y	SharePoint; physical files

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
		ceremony books; Register of graduates (graduate name and classification)						
TEA.2.2	Assessed student work **Note:** where the examination or submitted assessment *does not* contribute to final degree mark, these should also be kept along with assessed work that does.	Examination scripts and submitted assessments (undergraduate and taught postgraduate students) – incl. examiners' comments and mark sheets.	Completion of study or departure + 5	Secure disposal	Office for Students	Confidential	Y	SITS; On-site physical files
TEA.2.3	Reviews of the rigour of assessment	Faculty and School exam Boards recommendation papers	CAY + 10	Secure disposal	Business requirement	Confidential	N	
TEA.2.4	Collating examination results	Pass lists, individual result notifications	CAY + 1	Secure disposal	Business requirements	Confidential	Y	

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
TEA.2.5	Doctoral theses		Retained permanently	Deposited in Data. Bris.	Business requirement	Public	N	
TEA.2.6	Award verification requests **Note:** Process administrators' **'Award verification and replacement certificate retention process'** details local retention policies for managing related casework.	Verification of Award letters, replacement certificates, ECFMG verifications	CAY + 1	Secure disposal	Business requirement	Confidential	Y	
TEA.2.7	Monitoring and administering students on placements (linked to degree award)	Attendance Checks; Monitoring progress; Assessments; Feedback	Graduation or departure + 6	Secure disposal	Business requirement	Confidential	Y	
TEA.2.8	Administering short and online courses	Pathway programmes	End of course +1 **Note:** if courses lead to a contextual offer, keep with student record: Graduation or departure + 6	Secure disposal	Business requirement	Confidential	Y	

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
TEA.3	**TIMETABLING**							**EAO**
TEA.3.1	Documenting the timetabling of examinations and assessments	Examination and reassessment arrangements, Workload planning	CAY + 1	Secure disposal	Business requirement	Confidential	Y	SITS; e-vision; SharePoint; Blackboard

CRC. Commercial Research and Consultancy

The function of managing knowledge transfer, innovation, and partnership. This can arise from corporate, legal, or academic sources.

REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
CRC.1	**CONSULTANCY**							**DREI**
CRC.1.1	Providing consultancy to external organisations on a commercial basis	Commercial research, delivery of education and training programmes	End of consultancy arrangement + 6	Secure disposal	Limitation Act 1980	Confidential	N	F2
CRC.1.2	Directories of expertise		While current	Secure disposal	Business requirement	Confidential	Y	
CRC.2	**EXPLOITING RESEARCH AND INTELLECTUAL PROPERTY RIGHTS**							**DREI**
CRC.2.1	Patent application and renewals		Life of patent + 30	Secure disposal; or transfer to	Patents Act 1977	Confidential	N	Sherlock, SharePoint, F2

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
			Note: Some patents may be of historical value should be appraised by the University Archives.	University Archives.				
CRC.2.2	Assignment of intellectual property rights to third parties	Negotiation and transfer evidence	Transfer + 6 or life of patent	Secure disposal	Business requirement	Confidential	N	
CRC.2.3	Licensing of institutional patents to third parties	Registering and cancelling licences, revenue sharing agreements	End of license + 6	Secure disposal	Limitation Act 1980	Confidential	N	
CRC.2.4	Registered trademark or design certificates		Registration + 1	Transfer to Archives	Business requirement	Public	N	
CRC.2.5	Patent infringements	Case files	Last action on case + 6	Secure disposal	Limitation Act 1980	Confidential	N	
CRC.3	**SPECIALISED BUSINESS AND CLINIC ADMINISTRATION**							**Divs. & Fclts.**
CRC.3.1	Law clinics, vet clinic, sports centre, counselling service	Medical history, health screening questionnaires	Current year + 6	Secure disposal	Limitation Act 1980	Confidential	Y	SharePoint; Network drives
CRC.3.2	Dental and patient management	FP17 or FP17O forms	Current year + 11	Secure disposal	CSEH	Confidential	Y	Salud, Radar, Carestream

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RES. Research and Publishing

The function of undertaking academic research, delivering the institution's supervised research programmes, and publishing materials for internal or external distribution.

REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
RES.1	**RESEARCH QUALITY**							**DREI**
RES.1.1	Administering Research quality assurance processes	Process documents	Superseded + 6	Secure disposal	Business requirement	Confidential	N	
RES.1.2	Conduct and the results of formal reviews of research quality, and responses to results	Reviews; Action Plans; Responses	CAY + 5	Secure disposal	Business requirement	Confidential	N	
RES.1.3	External peer reviews of research outputs	Review Forms; invoices, payment details and related communications	End of REF cycle + 5	Secure disposal	Business requirement	Confidential	N	
RES.2	**RESEARCH EXCELLENCE FRAMEWORK MANAGEMENT**							**DREI**
RES2.1	Final REF submission	REF submission	Submission + 1	Transfer to University Archives	Patents Act 1977	Confidential	N	PURE, Email Exchange, Network Drive
RES.2.2	Administering the REF submission process **Note:** For committee minutes and papers	Reports and consultations	End of REF cycle + 6	Secure disposal	Business requirement	Confidential	N	Research, Enterprise and Innovation PURE, Email,

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
	relating to Research and REF, see Corporate Governance, Compliance and Risk Schedule (CGC.2)							Network drive,
RES.3	**RESEARCH PROJECT DEVELOPMENT**							**DREI**
RES.3.1	Formation and management of research partnerships and collaborations **Note:** See RES.3.2 for project proposals	Agreements relating to research awards; contracts, grants, collaborations, consortia, studentships, commercial funding, confidentiality agreements, incoming data, or material transfer agreements; Reviews; Project Design Papers; Correspondence', application to funder, correspondence	End of partnership + 6 **Note:** European Regional Development Fund (ERDF) and European Social Fund (ESF) have specific retention information included in the project agreements. **Note:** Unsuccessful proposals can be destroyed 1 year from submission	Secure disposal	Business requirement, ERDF and ESF contractual requirements	Confidential	Y	SharePoint, MS Form, Email, F2, eLucid

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
	with academics							
RES.3.2	Project proposals		End of research project +10	Review; secure disposal	Business requirement	Confidential	N	
RES.3.3	Liaison with research sponsors	Policy monitoring; Correspondence	End of academic year + 5	Secure disposal	Business requirement	Confidential	N	Worktribe, Email, SharePoint,
RES.3.4	Final reports produced by the Principal Investigator on externally funded research project	Reports	Retained permanently	Transfer to University Archives.	Business requirement	Confidential	N	
RES.3.5	Managing research grants	Project planning files; Project monitoring files; funding Councils evidence, bank statements, bank reconciliation	End of project + 6	Secure disposal	Limitations Act 1980	Confidential	N	
RES.3.6	Research fellowships Funding schemes for: University Research Fellowship (URF) University Enterprise Fellowship (UEF)	Applications to funding bodies, applications from researchers, researcher review, peer reviews	CAY + 5 **Note:** Unsuccessful applications can be destroyed after 6 months for date of applications.	Secure disposal	Business requirement	Confidential **Note:** Information is classified as confidential-sensitive if it contains	Y	SharePoint, OneDrive

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
	Early Career Enterprise Fellowship (ECEF) Senior Research Fellowships (SRFs)					special category data under UK GDPR: racial or ethnic origin; political opinions; religious or philosophical beliefs; trade union membership; genetic data; biometric data (where used for identification purposes); health; sex life and sexual orientation.		
RES.4	RESEARCH CONDUCT							DREI
RES.4.1	Applications for UoB research ethics approval	Applications	Retention defined in OREMS application	Secure disposal	Business requirement	Confidential	N	Online Research Ethics Management System (OREMS)

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
RES.4.2	Research process data	Working papers; Raw data; consent forms	Completion of project + 10 **Note:** Re-use of data stored in Data.Bris and other repositories retained permanently.	Secure disposal	Business requirement	Confidential	N	Data.Bris
RES.4.3	Sponsorship studies	Clinical Trial of an Investigatory Medicinal Product (CTIMP)	Clinical Trial of an Investigatory Medicinal Product (CTIMP) – destroy 25 years from close of study. **Note:** For non-CTIMP, See IRAS applications for retention requirement. It is common for non-CTIMP studies for the retention to be end of study + 5, but this depends on the nature of	Secure disposal	The Medicines for Human Use (Clinical Trials) Regulations 2004; Limitations Act 1980	Confidential	N	F2

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
			the study.					
RES.4.4	Human Tissue Authority (HTA)	HTA license	Date of birth + 120; or retain for 1 year if donation declined.	Secure disposal	Human Tissue Act 2004	Confidential	N	
RES.4.5	Cadaver donations (accepted)		Permanent retention	Secure disposal	Human Tissue Act 2004	Confidential	N	
RES.4.6	Cadaver donation (rejected)			Secure disposal	Human Tissue Act 2004	Confidential	N	
RES.4.7	Animal services	Personal and project licences; competency-based & Home Office training	End of License/training completion + 6	Secure disposal	Animals (Scientific Procedures) Act 1986	Confidential	N	
RES.5	**RESEARCH PROJECT PUBLICATION**							**DREI**
RES.5.1	Final research outputs	Formal publications	One copy retained permanently	Transfer to University Archives CY + 1	Business requirement	Confidential / Public	N	
RES.5.2	Research catalogue	Contents of catalogue/library	Date created + 10	Review/Transfer to University Archive	Business requirement	Confidential / Public	N	PURE, Altmetric

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COM. Marketing, Communications and Event Management

The function of marketing the institution, raising and maintaining its public profile, fundraising, and of managing the institution's formal corporate relationships with its students' union; 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.

REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data(Y/N)	Record Owner & Storage Location
COM.1	**FUNDRAISING**							**Coms. & Mkt.**
COM.1.1	Design, conduct and summary results of fundraising campaigns	Campaign mailing lists, post campaign reporting, Reports, events	Last action + 6	Secure disposal	Business requirement	Open	N	
COM.1.2	Management of the University's relationship with donors	Transactions; donations and funding	Duration of relationship + 6	Secure disposal	Limitation Act 1980	Public	Y	T4
COM.2	**BRAND MANAGEMENT**							**Coms. & Mkt.**
COM.2.1	Corporate identity and brand management	Design of the University's corporate identity branding (logos etc.) and the development of style guides for use of these **Note:** Evidence of	Superseded	Transfer to University Archives	Limitation Act 1980	Confidential	N	SharePoint; Network Drives

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data(Y/N)	Record Owner & Storage Location
		strategic decision on branding changes should be appraised by the Archives for their historical value. These records will be recorded in the appropriate functional Committee.						
COM.2.2	Promotion	Promotional image library, Alumni profiles, research stories, course/student experience/recruitment videos	CY + 6	Transfer to University Archives	Business requirement	Confidential	N	Asset Bank; SharePoint; Network Drives for master file(s); YouTube
COM.2.3	Testimonials	Written testimonials and photographs	CY + 5	Transfer to University Archives	Business requirement	Confidential	N	Asset Bank
COM.2.4	Intellectual Property Rights for imaging	Licensing	End of license + 6	Secure disposal	Limitation Act 1980	Confidential	N	
COM.2.5	Advertising management	Development and placement of advertisements	CY + 6	Secure disposal	Business requirement	Confidential	N	SharePoint

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data(Y/N)	Record Owner & Storage Location
COM.2.6	Marketing campaign management	Design, implementation and review or marketing campaigns, evaluations, reporting, assets	Completion of campaign + 6	Secure disposal	Business requirement	Confidential	N	SharePoint
COM.2.7	Management and organisation of student recruitment campaigns and events (excluding personal data)	Planning publicity	Completion of campaign + 5	Secure disposal	Business requirement	Confidential	N	SharePoint
COM.2.8	Market Research (aggregated data and reporting) **Note:** For reporting data and statistics, see GCR.4	Focus groups (internal students, Agency partners), Reports	End of research + 6	Secure disposal	Business need	Open	N	Marketing and Communication
COM.3	**INTERNAL COMMUNICATION**							**Coms. & Mkt.**
COM.3.1	University-wide strategic communication	Press releases (from research papers/journals), media briefings and interviews	Publication + 1	Published to website	SharePoint (Teams); T4	Public	N	SharePoint (Teams); T4

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COM.3.2	Digital marketing and communication	Communication to teachers and advisors, staff, PGR intranet posts	Publication + 3	Secure disposal	Business requirement	Confidential	Y	Email Exchange
COM.3.3	Publication of prospectus	Undergraduate, Post-graduate Guide, International Guide	Publication + 6	Transfer single copy to University Archives.	Business requirement	Open	N	Physical copies
COM.3.4	Staff bulletin and updates	Staff updates, all staff emails, news articles and interviews, Newsletters (Horizons), YouTube videos, blog posts	CY + 3	Secure disposal		Open	N	Email Exchange; SharePoint; Enterprise Systems PowerApps, Mailchimp
COM.3.5	Transcriptions of interviews	Project files, campaigns	CY + 1	Destroy	Business requirement	Open	N	Marketing and Communication
COM.4	EXTERNAL COMMUNICATION							Coms. & Mkt.
COM.4.1	Press releases		CY + 3	Transfer a copy to University Archives	Business requirement	Open	N	
COM.4.2	Monitoring and media coverage	Compiling summaries of	CY + 1	Signal (third party provision	Business requirement	Confidential	N	

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data(Y/N)	Record Owner & Storage Location
		media coverage; analysing and reporting on media coverage.		by subscription)				
COM.4.3	Media contact lists		Superseded	Agility (third party provision by subscription)	Business requirement	Confidential	Y	
COM.5	**WEB DEVELOPMENT AND CONTENT MANAGEMENT**							**Coms. & Mkt.**
COM.5.1	Social media management	Instagram, LinkedIn, Facebook, X, TikTok, plus devolved accounts (Bristol University of Sport, Economics, etc. – devolved accounts not actively managed by media team)	CY + 5	University Archives to capture website presence and social media accounts	Business requirement	Public	Y	Student profiles, student interest stories, human interest
COM.5.2	Digital screen management	Slides (JPEGs, PNGs) Refreshed daily or often for local	Superseded + 3 **Note:** Significant events may dictate screen image has	Secure disposal	Business need	Open	N	SharePoint

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data(Y/N)	Record Owner & Storage Location
		screens	historical value. Contact University Archives in such instances.					
COM.6	ENQUIRY MANAGEMENT							Divs. & Fclts.
COM.6.1	Informal internal and external enquiries	Live chat services	Last action + 1	Secure disposal	Business requirement	Confidential	Y	Enterprise System
COM.7	COMPLAINTS							Coms.
COM.7.1	Handling complaints (For students see SAS.4.2, for alumni see COM.10.4)	Responses, recording and investigating complaints	Last action + 6	Secure disposal **Note:** Statistics anonymised and compiled for reporting over time	Business requirement	Confidential	Y	F2, SharePoint
COM.8	SURVEY AND CONSULTATION MANAGEMENT							Coms. & Mkt.
COM.8.1	Market Research (personally identifiable supporting data)	Questionnaires	Completion of research +1	Secure disposal	Business requirement	Confidential	Y	MS forms; SharePoint
COM.8.2	Design, operation and anonymised results of surveys conducted by the University	Collation and analysis	Superseded + 3	Destroy	Business requirement	Open	N	MS forms; SharePoint

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data(Y/N)	Record Owner & Storage Location
COM.9	**RELATIONSHIP MANAGEMENT**							**Coms. & Mkt.**
COM.9.1	Communications with HE institutions, other educational institutions, professional associations and learned bodies	Working papers	CAY + 5	Secure disposal	Business requirement	Confidential	Y	Email Exchange; SharePoint; Network Drives
COM.9.2	Formal responses to surveys and consultations run by sector-wide bodies		Response submission + 6	Review (only necessary for future planning)	Business requirement	Confidential	N	Email Exchange; SharePoint; Network Drives
COM.10	**ALUMNI MANAGEMENT**							**Alumni**
COM.10.1	Maintaining and administering a register of Alumni – the key records required to know the identity of Alumni	Biographical details (name, age), address, contact details, and courses completed (dates)	Retain permanently	Archived in enterprise system	Institutional memory	Confidential	Y	Raisers Edge
COM.10.2	Maintaining ancillary information on Alumni	Phone Numbers, email addresses; relative contact details; volunteering; clubs, societies, events	Until no longer current or data removal requested from data subject **Note:** Storage areas containing	Secure disposal	Business requirement	Confidential	Y	Raisers Edge, Secure Forms, SharePoint, Network Drive,

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data(Y/N)	Record Owner & Storage Location
		attendance; publication photos; community fundraising; prospecting; due diligence reports; event/individual briefings	non-key records as identified to the left should be annually cleansed so ephemeral information is not over-retained.					
COM.10.3	Statistics, surveys, and research relating to alumni, donors, and supporters **Note:** See SPQ.4 for data and statistics.	Statistics, surveys, and research	Last action + 6	Secure disposal	Business requirement	Confidential	Y	Raisers Edge
COM.10.4	Handling of complaints from Alumni	Correspondence and responses	Last action + 6 (longer determined on case-by-case advice, i.e. if complaint could be basis of legal action)	Secure disposal	Business requirement	Confidential	Y	Raisers Edge
COM.10.5	Correspondence received from alumni		Last action + 6	Secure disposal	Business requirement	Confidential	Y	Raisers Edge
COM.10.6	Stewardship of Alumni	Legacy gifts, wills	Permanent retention	Secure disposal	Business requirement	Confidential	Y	Raisers Edge

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data(Y/N)	Record Owner & Storage Location
COM.10.7	Maintaining profiles bank		Publication + 3	Secure disposal	Business requirement	Confidential	Y	Raisers Edge
COM.10.8	Volunteering applications	Work history, personal statements	Last action / end of mentorship + 3	Secure disposal	Business requirement	Confidential	Y	Survey system; JISC; Network Drives
COM.11	**ALUMNI COMMUNICATION MANAGEMENT**							**Alumni**
COM.11.1	Alumni communications	Mass communications to alumni; enquiries and responses; unsolicited feedback	Last action +1 (or campaign period)	Secure disposal	Business requirement	Confidential	Y	Enterprise system; postal mailings; once-a-year newsletter
COM.11.2	Alumni marketing communications	Prospect research profiling, fundraising,	Last action + 6	Secure disposal	Business requirement	Confidential	Y	
COM.11.3	Creating Alumni publications	Newsletters (digital/physical file)	Last action + 3	Transfer single copy to University Archives	Business requirement	Open	N	Shorthand (digital publications); University Website; SharePoint, Enterprise System
COM.11.4	Alumni profiles	Webpages	Superseded	Superseded	Business requirement	Public	Y	

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data(Y/N)	Record Owner & Storage Location
COM.12	**STUDENTS' UNION MANAGEMENT**							**Governance**
COM.12.1	Students' Union constitution review & approval **Note:** Does not include formal review by governing body		CY + 6	Destroy	Business requirement	Open	N	
COM.12.2	Students' Union funding		CY + 1	Destroy	Business requirement	Open	N	
COM.12.3	Students' Union financial monitoring		CY + 1	Destroy	Business requirement	Open	N	
COM.12.4	Students' Union operations monitoring	Union elections, conduct, affiliations, complaints	CY + 6	Secure disposal	Business requirement	Confidential	Y	F2
COM.13	**GOVERNMENT/PARLIAMENTARY INQUIRIES & INVESTIGATIONS MANAGEMENT**							**Divs & Fclts.**
COM.13.1	Providing evidence to assist inquiries and investigations	Formal submissions	Last action +10	Review	Business requirement	Confidential	Y	F2; SharePoint
COM.14	**EVENT MANAGEMENT**							**Divs & Fclts.**
COM.14.1	One-off events	Conferences, training events, exhibitions, artistic	Completion of event + 6	Secure disposal	Limitation Act 1980	Confidential	Y	Email exchange; Mailchimp; Eventbrite

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data(Y/N)	Record Owner & Storage Location
		performances, commemorations,						
COM.14.2	Recurring events	Seminars, sporting events, lectures, church services, tours, lettings, celebrations,	Superseded +1	Secure disposal	Limitation Act 1980	Confidential	Y	Email exchange; Mailchimp; Eventbrite

CAM. Campus Management

The function of managing the institution's impact on the physical environment, its physical estate, facilities, the health and safety of staff, students and others interacting with the institution, and ensuring compliance with legislation on these matters.

REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
CAM.1	**ESTATE AND PROPERTY MANAGEMENT**							**Legal**
CAM.1.1	Acquisition of ownership of property	Sealed deed, conveyance, transfer, or lease agreement	Ownership of property	Transfer to new owner	Business requirement	Confidential	Y	SharePoint, Network Drives, Physical files (on-site)
CAM.1.2	Deeds & certificates of title for University properties	Sealed deed, conveyance, transfer, or lease agreement	Ownership of property	Transfer to new owner with property **Note**: Transfer	Business requirement	Public	Y	SharePoint, Network Drives; locked cupboards

REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
				to University Archives if building demolished				
CAM.1.3	Negotiations for properties where the property was acquired	Email correspondance, Microsoft Office documents.	Closure of negotiations + 6	Secure disposal	Limitation Act 1980	Confidential	Y	SharePoint; Network Drives
CAM.1.4	Negotiations for properties where the property was not acquired	Email correspondance, Microsoft Office documents.	Closure of negotiations + 6	Secure disposal	Limitation Act 1980	Confidential	Y	SharePoint; Network Drives
CAM.1.5	Acquisition of use of properties by lease or rental	Lease agreement, title documentation	Disposal of property + 6	Transfer to University Archives	Business requirement	Confidential	Y	SharePoint, Network Drives
CAM.1.6	Leasing-out arrangements for properties	Email correspondence, Microsoft Office documents, marketing particulars, lease agreements and other related legal documents.	End of lease + 6	Review	Business requirement	Confidential	Y	SharePoint, Network Drives

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
CAM.1.7	Disposal of property	Sealed deed, conveyance, transfer, or lease agreement	Disposal of property + 6	Transfer to University Archives	Business requirement	Confidential	Y	SharePoint; Network Drives
CAM.2	**PROPERTY DEVELOPMENT**							**Legal**
CAM.2.1	Development of properties	Operating and Maintenance (O&Ms); Design schemes, fit-outs, requirements specifications	Disposal of property	Transfer to new owner with property	Limitation Act 1980	Confidential	N	SharePoint
CAM.2.2	Applications for planning consents	Listed buildings consents	Disposal of property or expiry of consent	Transfer valid consents to new owner	Business requirement	Confidential	N	SharePoint
	Note: For ordinary contracts see Finance and Procurement, Contract Management (P.2). For contracts and deeds (under seal) – see Governance, Compliance & Risk Management, Deeds	Contract forms: Joint Contract Tribunal (JCT)						

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
	under seal (REF). For provision of legal advice for contracts see (LEG.1).							
CAM.3	**PROPERTY MAINTENANCE**							**Campus**
CAM.3.1	Major refurbishment works (residential, academic)	Contracted building works, correspondence, works progress inspections; building surveys; Inspection, maintenance & repair of properties	Ownership of property	Transfer to new owner with property	The Construction (Design and Management) Regulations 2015	Confidential	N	
CAM.3.2	Minor, reactive, preventative, repair maintenance works	Carpentry, decoration electrical, mechanical, building fabrics, documentation, maintenance programmes	Completion of work + 3	Secure disposal	Business requirement	Confidential	N	Planon

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
CAM.4	**PROPERTY COMPLIANCE MANAGEMENT**							**Campus**
CAM.4.1	Conduct & results of inspections of properties by the enforcing authorities, & action taken to address issues raised	Inspection reports, enforcement notices; asset register; Service visits (electrical, mechanical, gas, water, equipment, services)	Completion of next inspection	Secure disposal	Business requirement The Control of Substances Hazardous to Health Regulations (SI 2002/2677) Regulation 9(4).	Confidential	N	Zetasafe; SharePoint
CAM.4.2	Assessments to assess asbestos presence	Asbestos management plans; asbestos register; records of removal of asbestos as it occurs including air testing where relevant; refurbishment and demolition surveys; occupational health assessments	Disposal of property + 40 or review of assessment	Secure disposal	Control of Asbestos Regulations (COAR) 2012; Control of Substances Hazardous to Health (COSHH) 2002	Confidential	N	

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
CAM.4.3	Documenting removal of asbestos		Completion of work + 6	Secure disposal	COAR '12; COSHH '02	Confidential	N	
CAM.4.4	Monitoring condition of asbestos		Completion of work + 6	Secure disposal	COAR '12; COSHH '02	Confidential	N	
CAM.4.5	Administering stock inventories		Superseded	Secure disposal	Business requirement	Confidential	N	
CAM.4.6	Routine stock taking	Stock movements, allocation, storage conditions	Current year + 3	Secure disposal	Business requirement	Confidential	N	
CAM.4.7	Disposal of items and transfers of ownership – safety-critical or hazardous items		Disposal of item + 6	Secure disposal	Business requirement	Confidential	N	
CAM.4.8	Disposal of items and transfers of ownership		Disposal of items + 1	Secure disposal	Business requirement	Confidential	N	
CAM.5	**PROPERTY SECURITY MANAGEMENT**							**Campus**
CAM.5.1	Security breaches or incidents and actions taken	Incident reports	CY + 3	Secure disposal	Business requirement	Confidential	N	Perspective
CAM.5.2	Property access controls to secure areas of university premises	Ucards (incl. visitors), students, and visitors' key registers	Current or superseded	Secure disposal; Shred-it	Business requirement	Confidential	N	UoB Cloud servers

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
CAM.5.3	Routine surveillance monitoring	CCTV	Creation + 30 days **Note**: Suspicion of criminality, either via police or internal request, will inure longer retention for evidentiality purposes. In this instance, dispose when no longer required after proceedings have taken place.	Secure disposal; Shred-it	Business requirement	Confidential	N	DEMS system; CCTV database
CAM.5.4	Car parking management	Permit applications; enforcement notices	EFY + 6	Secure disposal	Payment Card Industry (PCI) opens	Confidential	Y	Imperial Parking mgmt. System
CAM.6	**FACILITY MANAGEMENT**							**Campus**
CAM.6.1	Physical relocation of facilities		Relocation + 10	Secure disposal	Business requirement	Confidential	N	
CAM.6.2	Arranging University catering	Order numbers; budget codes	CY + 6	Secure disposal	Business requirement	Confidential	N	Spoonfed; Marketplace (My ERP)

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
CAM.6.3	Administering cleaning of buildings	Rotas	CY + 3 months	Secure disposal; shred it	Business requirement	Confidential	Y	
CAM.6.4	Conduct & results of inspections of properties internally or by the enforcing authorities, & action taken to address issues raised	Inspection reports, enforcement notices, fire risk assessment; method statements	Completion of next inspection	Secure disposal	Business requirement	Open	N	
CAM.6.5	Nursery management	Safeguarding and security arrangements	Closure of nursery + 50 years	Review/Secure disposal	The Day Care and Child-Minding Regulations 2003	Confidential	Y	
CAM.6.6	Managing memberships and access to recreation facilities	Gym and swimming pool membership access for students and the public	End of membership + 1	Secure disposal	Business requirement	Confidential	Y	Legend API
CAM.7	**ENVIRONMETNAL, ENERGY AND WASTE MANAGEMENT**							**Campus**
CAM.7.1	Managing and disposing of waste	Shredding requests; Waste collection requests; Waste transfer notes;	CY + 3	Secure disposal	Hazardous Waste (England and Wales) Regulations	Confidential	N	Shred-it containers

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
		Consignment notes; Quarterly returns			2005			
CAM.7.2	Carbon footprint monitoring	Scope 1 (Caron generation), 2 (direct on-site carbon generation), 3 (indirect carbon emission); annual reporting	Superseded + 10	Transfer to University Archives	Climate Change Act 2008	Confidential	N	
CAM.7.3	Fleet management	MOTs, charging infrastructure, E-cargo bikes, EV vehicles	Disposal of asset + 6	Secure disposal	Limitation Act 1980	Confidential	N	
CAM.7.4	Environmental compliance	ISO 14001 compliance monitoring (store paint, cleaning fluids etc.)	CY + 6	Secure disposal	Business requirement	Confidential	N	
CAM.7.5	Monitoring and reviewing of university energy use	Climate Action Plans (CAPs) Formal reviews; Action plans; Local	Superseded + 10	Secure disposal	Business requirement	Confidential	N	

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
		Environment Action Plans (LEAPs); Best practice documents; lab carbon data						
CAM.7.6	Utility meter readings		CY + 10	Secure disposal	Business requirement	Confidential	N	
CAM.8	**ACCOMMODATION AND RESIDENTIAL SERVICES**							**Accomm.**
CAM.8.1	Allocating student accommodation (auto-allocate)	Allocation and occupancy lists; Self-assessment form; catered students' accommodation	CY + 1	Secure disposal	Business requirement	Confidential	Y	
CAM.8.2	student accommodation correspondence & complaints	Student file; complaints	CY + 5	Secure disposal	Business requirement	Confidential	Y	
CAM.8.3	Fees and charges	Deposits, invoices	CY + 6	Secure disposal	Business requirement	Confidential	Y	
CAM.8.4	Staff lettings (manual allocation)	Tenancy; property brochures and videos; inventories	Superseded	Secure disposal	Business requirement	Confidential	Y	StarRez
CAM.8.5	Staff correspondence	Complaints;	CY + 3	Secure disposal	Business	Confidential	Y	SharePoint

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
		compliance certificates; Right to rent (passports)			requirement			
CAM.9	**COMMERCIAL EVENT ORGANISATION**							**Events**
CAM.9.1	Planning and impact of events	Brochures; event promotional materials (Print Services create)	CY + 3	Secure disposal	Business requirement	Confidential	N	SharePoint
CAM.9.2	Organisation and administration of events	Proposals; booking confirmations; Function sheets; non-generic risk assessments; table plans; rooming lists **Note:** For non-liability insurance, see Finance and Procurement, Insurance Management (FIN.6)	CY + 1	Secure disposal	Business requirement	Confidential	Y	Online Microsoft booking form, outlook, Star Rez, SharePoint, Eventbrite

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FIN. Financial Management

The function of managing the University's financial resources.

REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
FIN.1	**FINANCIAL ACCOUNTING**							**Finance**
FIN.1.1	Managing student funding	Student Loan Company cases, scholarships, and bursaries, learning fund applications	Graduation or departure + 6	Secure disposal	Limitation Act 1980	Confidential	Y	SITS, E-vision, Unit 4 Aggresso,
FIN.1.2	Student fees and appeals	Appeals and slow payments; Student financial statements; Invoices	Graduation or departure + 6 (if paid). **Note:** Student Loan Company wipes off debt after 30 years, at which point retention of records no longer necessary	Secure disposal	Business need	Confidential	Y	SITS, E-vision, Unit 4 Aggresso,
FIN.1.3	Credit limits	Credit limits for commercial/non-student customers	CFY + 6	Secure disposal	Business need	Confidential	Y	Unit 4 Aggresso, SharePoint

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
FIN.1.4	Accounting for income and expenditure	Purchase orders and invoices; sales invoices; bank accounting; credit notes; sales and other transactions; supplier administration; staff expense claims; corporate credit card and one-off payments. Petty cash is now a cashless organisation and does not hold any cash on campus.	CFY + 6	Secure disposal	Limitations Act 1980; Value Added Tax Act 1994; Taxes Management Act 1970	Confidential	Y	My ERP, Network Drive, Kofax
FIN.1.5	Managing grant income	Audit evidence, bank statements, bank reconciliation	CFY + 10 **Note:** Longer retention may be dictated by funding agreement	Secure disposal	Business / funder requirement	Confidential	N	Network Drive

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
FIN.1.6	Managing donations	Substantial personal bank statements, bank reconciliation	CFY + 6	Secure disposal	Income and Corporation Taxes Act 1988	Confidential	Y	Network Drive
FIN.2	**FINANCIAL PLANNING AND BUDGETING**							**Finance**
FIN.2.1	Strategic Financial planning	Approved business plans; cost centre budgets; Capital Programme; Long-term financial plans; TCIF/RCIF Teaching Research Capital Investment fund	CFY + 12	Secure disposal	Business requirement	Confidential	N	
FIN.2.2	Statutory returns	Set of accounts; Statutory returns	CFY + 6	Secure disposal	Office For Students (OFS)	Confidential	N	Shared Drives; SharePoint
FIN.2.3	Preparing budgets	Integrated Planning Process (IPP)	CFY + 6; for Long-term financial planning CFY + 10	Secure disposal	Business requirement	Confidential	N	SharePoint, Network drive
FIN.2.4	Budget monitoring, forecasting, and reporting	Monitoring against planned expenditure;	CFY + 6	Secure disposal	Business requirement	Confidential	N	PIMS

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
		budget reports; cost and income forecasting; management account packs; project documentation; Analysis of budgets, actuals, and/or forecasts						
FIN.3	**ASSET MANAGEMENT**							**Finance**
FIN.3.1	Managing the finance associated with significant (over £25000) organisational assets	Buildings refurbishment; Physical equipment; Purchase and sale of investments; Valuations of capital assets; Authorisations to dispose of capital assets; Capital Programme (historic actuals)	CFY + 12	Secure disposal	Business requirement; The Limitations Act 1980; Taxes Management Act 1970	Confidential	N	
FIN.3.2	Managing the Project and Programme	Portfolio documentation;	CFY + 6	Secure disposal	Business requirement	Confidential	N	

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
	investment portfolio	trackers						
FIN.3.3	Maintaining local assets registers	Revenue maintenance spend, capital maintenance spend	CFY + 6	Secure disposal	Business requirement	Confidential	N	Network drives; SharePoint
FIN.3.4	Financial forecasting	Analysis of budgets, actuals, and/or forecasts	CFY + 6	Secure disposal	Office For Students (OFS)	Confidential	N	
FIN.3.5	Capital funding returns	Teaching Capital Investment Fund (TCIF); Research Capital Investment Fund (RCIF); OFS returns	Current tax year + 6	Secure disposal	Taxes Management Act 1970	Confidential	N	Finance Services
FIN.4	**TAX MANAGEMENT**							**Finance**
FIN.4.1	Preparation statutory returns and payment of tax liabilities	Assessment of tax liabilities; VAT return; Corporation Tax returns and assessments; PAYE returns; HMRC correspondence;	CFY + 6	Secure disposal	Taxes Management Act 1970; The Value Added Tax Regulations; HMRC VAT Notice	Confidential	Y	ERP; IRIS

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
		oversees non-payroll returns						
FIN.4.2	Endowments	Substantial donations	Retain permanently	Transfer to University Archives	Institutional memory	Confidential	Y	
FIN.5	**PAYROLL & PENSIONS**							**Finance**
FIN.5.1	Calculation and payment of employees' salaries and other payments	P45s, includes non-payroll staff, Agency, Work Experience	CFY + 6	Secure disposal	The National Minimum Wage Regulations 2015; The Income Tax Act Regulations 2003; Taxes Management Act 1970	Confidential	Y	My ERP, SharePoint
FIN.5.2	Pension scheme contribution	Employer and employee contributions to pension schemes	End of employment + 65	Secure disposal	The Occupational Pension Schemes (Scheme Administration) Regulations 1996	Confidential	Y	My ERP, SharePoint, Network Drive
FIN.5.3	Processing payroll	Salary advances;	CFY + 6	Secure	The National	Confidential	Y	ERP (from 2018);

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
		bank transfer reports; non-statutory deductions from salaries; deduction authorities; tax code notices		disposal	Minimum Wage Regulations 1999; Taxes Management Act 1970; The Income Tax (Pay As You Earn) Regulations 2003			Network drives pre-2013-18
FIN.6	**INSURANCE MANAGEMENT**							**Finance**
FIN.6.1	Managing the provision of insurance protection	Arrangement and renewal of insurance policies; negotiations; insurance reports	Renewal + 40	Secure disposal	Business need	Confidential	Y	Locked on-site cupboards; Network Drives; Email Exchange
FIN.6.2	Handling insurance claims	Insurance claims	CFY + 6	Secure disposal	Limitation Act 1980	Confidential	Y	My ERP
FIN.6.3	Managing employers' liability insurance	Certificate of employer's liability insurance	Expiry + 60	Secure disposal	The Employers' Liability (Compulsory Insurance) Regulations 1998	Confidential	Y	

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
FIN.7	FINANCIAL/INTERNAL AUDIT							Finance
FIN.7.1	The process of undertaking and responding to an internal audit investigations and associated actions	Audit reports; audit action plans; audit working papers; action tracking;	CY + 6	Secure disposal	Limitation Act 1980	Confidential	Y	SharePoint; 4Action

PRO. Procurement

The function of purchasing goods, works, and services from external organisations.

REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
P.1	SUPPLIER APPROVAL AND TENDERING							Finance
P.1.1	Managing the market engagement, tender and/or quotation and evaluation period	Procurement plans; Prior Information Notice (PIN); market feedback; Specification, Invitation to Tender (ITTs); Invitation to Quote (ITQs);	CFY + 6; Legal Hold in place +15	Secure disposal	Limitation Act 1980	Confidential	Y	

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
		bidder engagement; impartiality declarations; comments and consensus scores; price calculations; successful bids; Intention to Award letters, feedback, and reports; purchase invoicing						
P.1.2	Purchase transactions	Invoices, requisitions, purchase orders, credit / debit notes, goods received notes	CFY + 6	Secure disposal	Limitation Act 1980	Open	Y	My ERP, Network Drive
P.1.3	Importing and exporting goods	Proof of origin, C88 (customs), Bill of landing	CFY + 6	Secure disposal	Limitation Act 1980	Open	Y	
P.1.4	Documenting contract awards	Options Appraisal; Authority to Award (ATA)	Contract award + 6 (taking into accounts contract extensions/revision	Secure disposal	Limitation Act 1980; The Public Contracts Regulations	Open	N	

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
					2015			
P.1.5	Payment performance	Invoice payments	CFY + 6	Secure disposal	Public Procurement Review Service	Open	N	
P.1.6	Unsuccessful bids		Contract award + 3	Secure disposal	Business requirement	Confidential	Y	
P.1.7	Contract registers		Last action + 1	Secure disposal	Business requirement	Confidential	N	
P.2	**CONTRACT MANAGEMENT**							**Finance**
P.2.1	Managing the operation, administration, and variation of the contract **Note:** For contracts and deeds (under seal) – see Governance, Compliance & Risk Management	Signed contract and forms; contract revisions and extensions; Key Performance Indicators;	Contract termination or revision/extension + 6	Secure disposal	Business requirement	Confidential	Y	My ERP, Network Drive

HS. Health and Safety

The function of managing the impact of the University's operations on the health and safety of its staff, students, and others while on its premises, and of ensuring compliance with legislation on health and safety matters.

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
HS.1	**MANAGING HEALTH AND SAFETY**							**H&S**
HS.1.1	Consulting with staff and representatives	Consultations; Correspondence	CY + 6	Secure disposal	Safety Committees Regulations 1977	Confidential	N	
HS.1.2	Demonstrating compliance with health and safety regulations	Legal register	Superseded + 1 year	Secure disposal	Business requirement	Confidential	N	
HS.1.3	Operational arrangements and assurance	Self-verification assurance assessment	Date of assessment + 6 years	Secure disposal	Business requirement	Confidential	N	
HS.2	**HAZARD IDENTIFICATION, EXPOSURE, AND CONTROL**							
HS.2.1	Maintenance of all Category 1 and 2 precursor chemicals	Supplier, Date of purchase, Person responsible, Amount, Date of disposal, Amounts disposed	CY + 3	Secure disposal	Law Enforcement and Security (LENS) Regulations 2019 (GB premises only). EC Regulations 273/2004 and 111/2005	Confidential-Sensitive	Y	
HS.2.2	Occurrences of exposure to Carcinogens in the workplace	Employee list of exposure; Employee training files – will include:	CY + 40 years	Secure disposal **Note:** Records	The Control of Substances Hazardous to Health	Confidential-Sensitive	Y	Incident reporting database and Occupational

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
		-Name of the carcinogen/mutagen used; -Title of the procedure or project; -Name of the PI/Responsible person; -Authorised users; -Dates that users started and finished work with the substance		of staff exposure should form part of Core HR Record, or individual's health surveillance record	(COSHH) 2002			health record database
HS.2.3	Managing the presence and condition of asbestos and measures undertaken	Assessments; Plans; Employee training files	Last action +40 years	Secure disposal	COSHH '02; Control of Asbestos Regs 2012	Confidential-Sensitive	Y	Occupational health record database
HS.2.4	Monitoring affected areas of radiation and associated actions to reduce risk	Radon monitoring; training records; dose records for designated workers	CY + 30 years Individual exposure: date of birth + 65 years	Secure disposal	Ionising Radiations Regulations (IRR) 2017	Confidential-Sensitive	Y	
HS.2.5	Accounting for radioactive material		CY + 30 years	Secure disposal	IRR17; Environmental	Confidential-Sensitive		

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
					Permitting Regulations (EPR) 2016			
HS.2.6	Monitoring affected areas of lead exposure	Lead tests; Repair records; Records of protection equipment; Monitoring records; Training records	CY + 6 years	Secure disposal	The Control of Lead at Work Regulations (CLWR) 2012	Confidential-Sensitive	Y	
HS.2.7	Occupational Health Surveillance relating to lead exposure		Last entry +40 years	Secure disposal	CLWR '12	Confidential-Sensitive	Y	
HS.2.8	Exposure to noise and vibration in the workplace	Noise measurements Vibration measurements	Measurement + 40 years	Secure disposal	Noise Act 1996	Confidential-Sensitive	N	
HS.2.9	Registering workers who work with hazardous organisms	Register of workers; Exposure investigations; Training records	DoB + 65 years for registration of radiation workers	Secure disposal	COSHH '22	Confidential-Sensitive	Y	Biorisk database
HS.2.10	Maintenance of explosive substances	Type of substance, CAS identifier number, Unique container identification,	Disposal of substance +3 years	Secure disposal	Explosives Regulations 2014; Explosives Regulations	Confidential-Sensitive	Y	

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		Supplier, Date acquired, Amount, Location stored and use, Responsible person, Use			2014			
HS.2.11	Examination, maintenance and testing of plant and equipment provided to control exposure to substances hazardous to health and repairs carried out as a result	Testing and examinations, including respiratory protection equipment	CY + 6 years	Secure disposal	COSHH '22; DSEAR '02 PUWER 1998	Confidential-Sensitive	Y	Campus Division (Hard FM); Schools and Services (locally managed equipment); Insurance Office - Written Scheme of Examination
HS.2.12	Disposal of open and sealed sources	Long-lived nuclides to drains (except ^{3}H & ^{14}C); low-level waste to landfill burial at specified location	Retained until written permission to dispose is received from the Environment Agency.	Secure disposal	EPR '16	Confidential-Sensitive	N	
HS.2.13	Use of radioactive material in environmental tracer tests		Test + 50 years	Secure disposal	EPR '16	Confidential-Sensitive	N	

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
HS.2.14	Transporting dangerous goods	Transportation documentation	Date of shipment +3 years	Secure disposal	The Carriage of Dangerous Goods and Use of Transportable Pressure Equipment Regulations 2009 IATA Dangerous Goods Regulations.	Confidential-sensitive	N	
HS.3	**ACCIDENT AND INCIDENT REPORTING AND INVESTIGATION**							**H&S**
HS.3.1	Investigations into release and exposure to hazardous substances on the premises	incidents of spillages, inadvertent releases, loss, or theft	Date of report +50 years	Secure disposal	COSHH '22; IRR '17	Confidential-Sensitive	Y	Incident reporting database; Perspective
HS.3.2	Occurrences of injuries and outbreaks of notifiable diseases on the institution's premises	Notifications; Incident reports	CY + 6	Secure disposal	The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR)	Confidential-Sensitive	Y	Safety and Health Incident reporting system

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
					2013; The Social Security (Claims and Payments) Amendment 1993; Limitation Act 1980			
HS.3.3	Records documenting accidents and incidents involving children	Incident reports	Date of birth +25 years	Secure disposal	Limitations Act 1980	Confidential-Sensitive	Y	Safety and Health Incident reporting system database
HS.3.4	Reporting of RIDDOR incidents	RIDDOR reports	Date of incident +6 years	For significant incidents, consult Archives for appraisal and possible permanent retention.	RIDDOR '13	Confidential-Sensitive	N	Safety and Health Incident reporting system database; Perspective
HS.4	**TRAINING AND PROVISION**							**H&S**
HS.4.1	Provision of health and safety instruction and training for employees and students	Training records; course materials	CY + 6	Secure disposal	Limitation Act 1980 HASAW Act 1974	Confidential-Sensitive	Y	Develop; SharePoint

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
HS.4.2	Provision of health and safety instruction and training associated with substances hazardous to health	Training records; course materials	Superseded +3 years	Secure disposal	COSHH '22; DSEAR '02	Confidential-Sensitive	Y	SharePoint
HS.4.3	Appointment, instruction, and training of fire wardens and first aiders		End of appointment +3 years	Secure disposal	The Regulatory Reform (Fire Safety) (Custodial Premises) Subordinate Provisions Order (RRSPO) 2018 First Aid at Work regulations	Confidential-Sensitive	Y	SharePoint; Develop
HS.5	**RISK ASSESSMENT**							**H&S**
HS.5.1	Identification of health and safety hazards to the university's employees, and others on its premises, and the conduct and results of risk assessments in relations to plant,	Fire risk assessments; Travel risk assessments; Display Screen Equipment Assessments	Elimination of risk / updating of assessment + 6 years	Secure disposal	The Management of Health & Safety at Work Regulations (MHSWR) 1999; RRSPO '18 Order;	Open	N	Faculties, Divisions, Schools, and Services. Safety and Health Services repository is locked paper

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
	equipment, machinery, and processes	**Note:** For non-H&S risk assessments see Governance GCR.3.1.			COSHH '02; DASEA '02			storage, biorisk database
HS.5.2	Arrangements for the organisation and review of preventive and protective measures		Date of review + 6 years	Secure disposal	MHSWR '99	Open	N	
HS.5.3	Assessment of Genetically Modified Organisms (GMOs)	Risk assessments	Cessation of project +10 years	Secure disposal	Genetically Modified Organisms Regulations 2014	Open	N	
HS5.4	Assessment of substances hazardous to health	Risk assessments	Eliminations of risk / updating of assessment +50 years	Secure disposal	COSHH '02; DASEA '02	Open	N	Schools. Safety and Health Services repository is locked paper storage, Biorisk database
HS.6	**EMPLOYEE HEALTH SURVEILLANCE**							**HR**
HS.6.1	Managing health surveillance of employees	Health records and certificates; medical examinations –	Life of employee	Secure disposal	Limitation Act 1980; COSHH '02; Health Safety at Work	Confidential-sensitive	N	ORCID Live, shared mailbox, locked storage

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
		form part of employee Core Record			Act			
HS.7	**OCCUPATIONAL HEALTH MANAGEMENT**							**HR**
HS.7.1	Managing routine Occupational Health incidents	Occupational Health reports and referrals; records unrelated to industrial injury	End of employment + 6 years	Secure disposal	COSHH '02	Confidential	Y	ORCID Live
HS.7.2	Managing medical and health records, and detailing COSHH health surveillance assessments	Occupational health and medical health forms	Life of employee	Secure disposal	COSHH '02	Confidential	Y	
HS.7.3	Managing medical and health records under the Ionising Radiation (Medical) Exposure Act 2000	Occupational Health and medical health forms	Date of last entry + 50 years	Secure disposal	COSHH '02	Confidential	Y	

IAC. Information and Collections Management

The function of managing the information systems and resources which are generated or acquired by the University. This includes ICT systems, collections held by the University library, plus special and theatre collections held permanently in the archive. Activities of the function also include enquiry, permissions, and research services.

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
IAC.1	**ICT SYSTEMS DEVELOPMENT**							**IT**
IAC.1.1	Maintenance of ICT systems	Project management documentation, product license and manuals, solution architecture, diagrams	Decommissioning / date modified + 6 years	Secure disposal	Business Requirement	Confidential	N	
IAC.2	**ICT OPERATIONS**							**IT**
IAC.2.1	Routine testing and monitoring of ICT systems	Systems design, data development, testing, transition, implementation, modification and maintenance of IT systems and hardware, including third party systems	CY +1	Secure disposal	Business Requirement	Confidential	N	Ivanti
IAC.2.2	Management of system data storage, including backup, archiving & deletion routines	Back-up media, disc-to-disk storage, system logs	CY + 1	Secure disposal	Business Requirement	Confidential	N	
IAC.2.3	Maintenance of software		Issue of new	Secure	Business	Confidential	N	

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
	licences for live ICT systems		license	disposal	Requirement			
IAC.3	**ICT SYSTEMS SECURTY**							**IT**
IAC.3.1	Pre-emptive actions and responses to data and security breaches	Managed security service	Incident + 5	Secure disposal	Business Requirement	Confidential	N	
IAC.3.2	Opening, maintenance, and closure of user accounts to ICT systems		Closure of account + 1	Secure disposal	Business Requirement	Confidential	Y	
IAC.3.3	Active directory identification for reuse	Active directory unique identifier (name/DoB)	Retain indefinitely	Permanent retention	Business Requirement	Confidential	Y	Active directory
IAC.3.4	Routine monitoring of ICT systems to ensure compliance with regulatory environment and institutional policy	Server and end-user system logs	Current year + 1 Some systems +90 days	Secure disposal	Business Requirement	Confidential	N	
IAC 3.5	Arrangements for sanitisation of ICT systems and equipment prior to disposal	Certificates of destruction, audit trails	Disposal of equipment +1	Secure disposal	Business Requirement	Confidential	N	
IAC.4	**ICT SYSTEMS USER SUPPORT**							**IT**
IAC 4.1	Development of technical & application training for ICT system users	Video, audio, and written user guides and procedures	Superseded +1	Secure disposal	Business Requirement	Open	Y	

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
IAC.4.2	User requests for technical & application support, & assistance provided	Tickets/service desk; Hardware & software returns; Active Directory	Resolution +3	Secure disposal	Business Requirement	Confidential	Y	Halo, Ivanti, TopDesk, Active Directory
IAC.5	**ON-PREMISES SYSTEMS**							**IT**
IAC.5.1	General backups for on-premises servers and systems (including all central systems not excluded from backups, departmental filestores, and MyFiles)		File deletion + 3 months (accessible for user restoration for at least 2 weeks)	Destroy (unless specific authorised reason to retain)	Business Requirement	Confidential	Y	
IAC.5.2	E-mail (Microsoft Exchange) in user inbox		Email deletion + 30 days for individual emails that enter the deleted items folder	Destroy (unless specific authorised reason to retain)	Business Requirement	Confidential	Y	Email Exchange
IAC.5.3	Email (Microsoft Exchange) when a user leaves the University		Account deactivation + 30 days	Destroy (unless specific authorised reason to retain)	Business Requirement	Confidential	Y	Email Exchange
IAC.5.4	OneDrive files		Deletion + 30 days	Destroy (unless specific authorised	Business Requirement	Confidential	Y	OneDrive

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
				reason to retain)				
IAC.5.5	OneDrive sites and files when a user leaves the University		User departure + 30 days (can be extended to 3 months)	Destroy (unless specific authorised reason to retain)	Business Requirement	Confidential	Y	OneDrive
IAC.5.6	SharePoint Faculty or Divisional site files		Retention policies and labels should be applied to sites and item-level files pertaining to functional activity and business value.					SharePoint
IAC.5.7	Microsoft Office 365 Groups when a user leaves the University		Retention policies and labels applied to sites and item-level files pertaining to functional activity and business value.					Microsoft Office 365
IAC.5.8	Microsoft Office 365 Groups when a group owner leaves, or the		All groups are assessed annually, deactivated after	Deactivation + 12 months	Business Requirement	Confidential	Y	Microsoft Office 365

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
	group is inactive		30 days warning					
IAC.6	**LIBRARY SERVICES**							**Library**
IAC.6.1	Managing library registration and usage	Registration, usage, debtor information	End of library membership + 6	Secure disposal	Limitation Act 1980	Confidential	Y	SITS, OCLC WMS
IAC.6.2	Monitoring usage of library spaces	Group study space bookings; turnstile data	End of academic year + 3	Secure disposal	Business requirement	Confidential	N	LibCal; SharePoint
IAC.6.3	User enquiries	Enquiries – spaces, equipment, bookings	Resolution + 3 years	Secure disposal	Business requirement	Confidential	Y	Live chat; Email Exchange
IAC.6.4	User feedback	Feedback forms and emails	Resolution + 1 year	Secure disposal	Business requirement	Confidential	Y	Email exchange; SharePoint
IAC.6.5	Library promotion	Leaflets, flyers, signage	End of academic year + 3	Transfer to University Archives	Business requirement	Open	N	SharePoint
IAC.6.6	Delivering Library academic skills and support	Teaching and training materials; booking details; Access and Library Support	End of use of material + 3 years	Secure disposal	Business requirement	Confidential	N	Blackboard
IAC.6.7	Managing reading lists	Published reading list; usage reports	End of academic year + 6	Secure disposal	Business requirement	Confidential	N	Blackboard; OCLC WMS
IAC.7	**PERMISSION SERVICES**							**Library**
IAC.7.1	Processing requests for	Copyright	Signing	Secure	Limitation Act	Confidential	Y	

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
	information resources containing copyright declarations	declaration forms	declaration + 6 years	disposal	1980			
IAC.7.2	Obtaining permissions from rights holders for use of published materials in teaching	Reading List Digitisations	**Time-limited:** End of academic year + 6 **Granted in perpetuity:** Offer to University Archives.	Secure disposal or Permanent retention	Limitation Act 1980	Confidential	Y	Library Services. TADC Document Centre – British Library (consult RC)
IAC.7.3	Provision of scans and digitisation requests	Requests	End of academic year + 6	Secure disposal	Business requirement	Confidential	Y	Enterprise system
IAC.7.4	Pricing and licensing for library resources	Subscriptions, invoices	End of academic year + 7	Secure disposal	Business requirement	Confidential	N	
IAC.7.5	Managing library inventories and storage	Catalogue	Superseded	Secure disposal	Business requirement	Confidential	N	
IAC.8	**RESEARCH SERVICES**							**Lib & Fclts.**
IAC.8.1	Providing advice relating to research data and open access	Advice and correspondence	End of academic year + 6	Secure disposal	Business requirement	Confidential	Y	Mailing list archive; Email Exchange; Legion
IAC.8.2	The management of Open Access grants	UKRI, Cancer Research UK	End of academic year + 6	Secure disposal	Business requirement	Confidential	Y	Network Drives; SharePoint; Open Access Database

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IAC.8.3	Managing final PhD theses submissions to Library	E-theses submissions	Permanent retention	Retain in Pure repository, RDSF	Business requirement	Confidential/Open Access	Y	Pure, RDSF
IAC.8.4	Requests for access to research data sets – Internal and internal	Requests for UoB data sets, trackers	End of academic year + 6	Secure disposal	Business requirement	Confidential	Y	SharePoint; SafePod
IAC.9	**PUBLICATIONS MANAGEMENT**							**Divs & Fclts.**
IAC.9.1	Publishing official University publication	Annual reports and financial statements; prospectuses; formal student publications	Single copy retain permanently	Transfer to University Archives	Institutional memory	Open	N	
IAC.9.2	Design, commissioning, editing and production of official publication		Issue of publication + 3	Secure disposal	Business requirement	Open	N	
IAC.9.3	Publishing regular University publications for alumni, donors, and supporters, concerning fundraising campaigns and initiatives/events	Magazines	Single copy retain permanently	Transfer to University Archives	Institutional memory	Open	N	
IAC.10	**ARCHIVES AND CULTURAL COLLECTIONS MANAGEMENT**							**Lib & Fclts.[1]**
IAC.10.1	Developing &	Blank copy of	Retain	Transfer to	Business	Confidential	N	Special

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[1] This includes University Collections such as Theatre Collections, Special Collections and Public Art.

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
	establishing selection and/or acceptance criteria	transfer form; Blank Accession Evaluation Criteria form; Collection Development Policy	permanently until superseded	archive	requirement			Collections, Theatre Collections, Public Art SharePoint
IAC.10.2	Managing acquisition, appraisal, selection, accessioning, withdrawal and deaccession	Depositor and donor agreements, completed accession evaluation criteria forms, evidence of actions taken	Retain permanently		Business requirement	Confidential	Y	Special Collections, Theatre Collections Locked storage; SharePoint; CALM;
IAC.10.3	Collections management policies and procedures	Documentation, Procedural manual, accreditation submissions	Retain permanently until superseded	Transfer to archive	Business requirement	Confidential	N	Special Collections, Theatre Collections, Public Art SharePoint
IAC.10.4	Design & distribution of promotional materials to raise awareness & encourage use of collections	Flyers, leaflets, Online exhibitions etc.	CY + 1	Transfer to archive	Institutional memory	Open	N	Special Collections, Theatre Collections

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification or Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
								SharePoint; website
IAC.10.5	Conservation work undertaken on archives and collections	Conservation report	Retain permanently		Business requirement	Open	N	Special Collections, Theatre Collections CALM
IAC.10.6	Loans and sale of items from the collections to third parties	Loan and sale agreements	Retain permanently		Business requirement	Confidential	Y	Special Collections, Theatre Collections
IAC.10.7	Selection & use of items from the collections by third parties: licensing for teaching, events, publication, TV programmes	Licensing agreements	Retain permanently		Business requirement	Confidential	Y	Special Collections, Theatre Collections Locked storage; SharePoint
IAC.10.8	Selection & use of items from the collections for teaching, events, and engagement	Seminar lists, captions, presentations, displays, exhibitions, conferences	CY + 15	Sample transferred to Archive.	Business requirement	Open	N	Special Collections, Theatre Collections SharePoint
IAC.10.9	Usage of items in the	Locations slips,	Locations slips	Secure	Business	Confidential	Y	Special

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	collections	movement control	End of current year + 1 **Note:** Compiled location slip data: permanent retention	disposal	requirement			Collections, Theatre Collections Paper; SharePoint
IAC.10.10	Access control and supervision	Reader log	End of current year + 15	Secure disposal	Business requirement	Confidential	Y	Special Collections
IAC.10.11	Enquiries about the collections and responses provided	Emails	CY + 5 **Note:** Complex/legal requirement: permanent retention	Secure disposal	Business requirement	Confidential	Y	Special Collections, Theatre Collections Email exchange
IAC.10.12	Project planning documentation	Project plans, associated correspondence and documentation, funding applications	Retain permanently; end of project + 10	Review / Transfer to Archive	Business requirement	Confidential	N	Special Collections, Theatre Collections SharePoint
IAC.10.13	Environmental monitoring	Pest management procedures and log; BMS data	End of current year + 10	Transfer to Archive	Business requirement	Confidential	N	Special Collections, Theatre Collections

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IAC.11	**RECORDS MANAGEMENT**							**Information compliance**
IAC.11.1	Documenting the disposal of information	Disposal certificates; docket books or databases; System storage metadata	Date of disposal + 6 years	Secure disposal	Business requirement	Open	N	
IAC.11.2	Documenting the classification, indexing, knowledge organisation schemes for information	Retention schedule; Business Classification Scheme	Superseded + 6	Transfer to University Archives	Business requirement	Public	N	T4
IAC.11.3	Managing the storage and retrieval of information	Off-site storage inventories; Record surveys	While current	Secure disposal	Business requirement	Open	N	SharePoint
IAC.11.4	Appraisal of records at point of disposal	Appraisal forms; evidence of decision	Date of appraisal + 10	Secure disposal	Business requirement	Confidential	N	

LEG. Legal Affairs Management

The function of assessing and managing legal concerns.

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LEG.1	**ADVICE**							**Legal**
LEG.1.1	The provision of routine legal advice	One-off or stand-alone pieces advice for related issues	CAY + 6	Secure disposal	Business need	Confidential-Sensitive	Y	F2
LEG.1.2	The provision of legal advice to contracts, deeds, and legal agreements under seal	Advice related to contracts, deeds, and legal agreements under seal	End of agreement + 12	Secure disposal	Limitation Act 1980	Confidential-Sensitive	Y	F2
LEG.1.3	The provision of contract or project specific legal advice	Advice related to contracts, projects	End of contract or partnership + 6	Secure disposal	Business requirement	Confidential-Sensitive	Y	F2
LEG.1.4	Mediation	Correspondence and case notes	CY + 6	Secure disposal	Limitation Act 1980	Confidential-Sensitive	Y	F2
LEG.2	**LITIGATION**							**Legal**
LEG.2.1	Managing litigation between the university and third parties where legal precedents are set	Litigation casework and claims	Case closure + 7 (date of completion)	Court judgements publicly available on Courts website and BAILLI	Limitation Act 1980	Confidential-Sensitive	Y	Faculties and Professional Services F2
LEG.2.2	Managing litigation between the university and third parties where legal precedents are not	Litigation casework and claims	CY + 6	Secure disposal	Limitation Act 1980	Confidential-Sensitive	Y	F2

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	set							
LEG.2.3	Public interest disclosures	Casework	Case closure + 6 **Note:** Cumulative number of cases and written reports are captured in the Audit and Risk Committee, which is subject to permanent preservation.	Secure disposal	Limitation Act 1980	Confidential-Sensitive	Y	F2
LEG.3	**INTELLECTUAL PROPERTY**							**DREI**
LEG.3.1	Registering trademark or design certificates		Retain permanently	Transfer to University Archives	Limitation Act 1980	Confidential-sensitive	N	
LEG.3.2	Patent application and renewals		Life of patent + 30	Secure disposal	Business requirement	Confidential-sensitive	N	
LEG.3.3	Patent infringement	Case files	Last action + 6	Secure disposal	Limitation Act 1980	Confidential-sensitive	N	F2
LEG.3.4	Negotiation, transfer, and sale of intellectual property rights to third parties		Transfer + 6 (unless specified in contractual arrangements)	Secure disposal	Limitation Act 1980	Confidential-sensitive	N	F2

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LEG.4	**COPYRIGHT LICENSING**							**Legal**
LEG.4.1	Upkeep of the University's copyright licences		End of current academic year +1	Secure disposal	Business requirement	Confidential-sensitive	N	Sherlock; SharePoint
LEG.4.2	Applications to copy outside the open terms of licence		Permission + 6	Secure disposal	Limitation Act 1980	Confidential-sensitive	N	F2

HR. People Management

The function of managing the institution's compliance with legislation on equal opportunities, and managing the institution's workforce as a whole and its contractual relationship with individuals who have an employment contract with the institution.

REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification of Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
HR.1	**WORKFORCE PLANNING**							**HR**
HR.1.1	Operational assessment & analysis of workforce	Staffing data; rotas; Local workforce planning;	Superseded +3	Secure disposal	Business requirement	Confidential	Y	SharePoint; Network drives
HR.1.2	Succession planning	Management successions plans	Superseded + 6 years	Secure disposal	Business requirement	Confidential	Y	
HR.1.3	Job Descriptions	High-level job descriptions and specifications	Superseded + 6 years	Secure disposal	Business requirement	Confidential	Y	SharePoint
HR.1.4	Restructuring proposals	Plans,	Implementation	Transfer to	Business	Confidential	N	Network Drives

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification of Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
		consultations, meetings	+1 year	University Archives	requirement			
HR.2	**RENUMERATION AND REWARD**							**HR**
HR.2.1	Renumeration	Structures of pay and banding	Superseded +10 years	Secure disposal	Business requirement	Public		Website
HR.2.2	Promotion and grading	Promotion and grading reviews (includes academic progression)	End of employment + 6	Secure disposal	Business requirement	Confidential	Y	SharePoint; ERP
HR.2.3	Pay and allowance reviews	Annual pay awards and revisions	End of academic year + 6	Secure disposal	Business requirement	Confidential	N	SharePoint; ERP
HR.3	**RECRUITMENT**							**HR**
HR.3.1	Handling of applications for successful vacancies: Full-time, Part-time, Admin and Clerical, Faculty, Student Services Administration, Teaching Support Roles **Note:** For Casual, Work Experience, Academic, Guest, Honorary, Associates, or External	Job descriptions and specifications; Application forms; CVs; Contract of employment; Health declarations; DBS checks; Security Screenings; Research Passports;	End of employment + 6 **Note:** Personal data should be destroyed if requested from the individual.	Secure disposal	Business requirement; Sex Discrimination Act 1975; Race Relations Act 1976; Discrimination Act 1995	Confidential	Y	E-recruit; ERP

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification of Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
	Examiners – see Employee Contract Management section	Redeployment pool data **Note:** these records form part of the Additional Staff Record. For records retained permanently as part of the Core Staff Records – see Employee Contract Management						
HR.3.2	Handling of applications for vacancies: unsuccessful applications	Internal authorisation for recruitment; advertising vacancies; Recruitment agency description; interview notes, scoring; shortlisting details	Vacancy filled + 1 year	Secure disposal	The Equality Act 2010	Confidential	Y	E-recruit

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification of Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
HR.3.3	Authorisation to recruit and select	As above	CY+ 1	Secure disposal	The Equality Act 2010	Confidential	Y	
HR.3.4	Additional information held on staff (not part of Core Staff Record)	References, statutory checks, work permits, visa details, HESA details, qualifications, DBS, Security screening, professional registration checks, research passports, NHS honorary status; Diversity; Secondments; business interests	End of employment + 6 years	Secure disposal	Business requirement	Confidential	Y	TUPE
HR.3.5	Honorary and Emeritus staff management	Access requirements	Death of staff + 6	Secure disposal	Business requirement	Confidential	Y	
HR.3.6	Sifting management	Short-listing notes, interview notes and test results	Vacancy filled + 1 year	Secure disposal	Business requirement	Confidential	Y	

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification of Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
HR.3.7	Summary of staff employment	Name, position, work area, dates of employment	End of employment + 1	Transfer to University Archives	Business requirement	Confidential	Y	
HR.3.8	Job evaluation	Role criteria, grading schemes	Superseded + 6	Secure disposal	Business requirement	Open	N	
HR.4	**EMPLOYEE CONTRACT MANAGEMENT**							**HR**
HR.4.1	Handling of applications for successful vacancies: Casual, Academic, Guest, Honorary and Associates, External Examiners	Personal details (address, next of kin, emergency contact details); Contract of employment; COSHH training **Note:** contact details should be removed from other H: drive locations after cessation of employment	Retained permanently – forms the Core Staff Record. Personal data should be destroyed if requested from the individual.	Retained permanently	Sex Discrimination Act 1975; Race Relations Act 1976; Disability Discrimination Act 1995	Confidential	Y	E-recruit; ERP; Network drives
HR.4.2	Authorising & administering contractual holiday entitlement	Annual, study, compassionate, care of study, dependents	CY + 1	Secure disposal	Business requirement	Confidential	Y	ERP; SharePoint; Network drives
HR.4.3	Administering statutory	Maternity,	End of	Secure	Social Security	Confidential	Y	ERP

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification of Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
	and occupational leave sickness leave	paternity, adoption, shared parental, sickness	employment + 6	disposal	Contributions & Benefits Act '92			
HR.4.4	Renumeration and reward	Special rewards and employee authorisations for non-open deductions from salary	End of employment + 6	Secure disposal	HMRC	Confidential	Y	ERP
HR.4.5	Termination of employment	Termination of contract, includes voluntary, redundancy, retirement (including on medical grounds) or dismissal resignations; Occupational Health letters	End of employment + 6	Secure disposal	Business requirement	Confidential	Y	ERP
HR.4.6	Terms and conditions	Contract conditions for staff	Superseded + 10	Secure disposal	Business requirement	Confidential	Y	TUPE
HR.4.7	International mobility	Tax returns, social security, risk assessments, work permits,	End of employment + 10	Secure disposal	International tax requirements	Confidential	Y	

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification of Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
		visas, passport photos, insurance, registration						
HR.5	**STAFF TRAINING AND DEVELOPMENT**							**HR**
HR.5.1	Development and delivery of employee training programmes	Mandatory training; training modules **Note:** For COSHH training see Health and Safety	Superseded + 6	Secure disposal	Limitation Act 1980	Open	N	Develop
HR.5.2	Managing the impact of training and development needs	Evaluations, Feedback surveys, and questionnaires (anonymous)	CAY + 6	Secure disposal	Business requirement	Open	Y	BOS; Develop; Microsoft Forms
HR.5.3	Managing course bookings	Develop courses; function-specific training modules **Note:** For COSHH training see Health and Safety	End of relationship with university + 6	Secure disposal	Limitation Act 1980	Open	N	Develop
HR.5.4	Training bookings	Local training attendance, invoices, travel	CAY + 1	Secure disposal	Business requirement	Confidential	Y	Develop; SharePoint; ERP

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification of Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
		bookings						
HR.5.5	Guidance produced to support staff development	How-to guide	Superseded +3	Secure disposal	Business requirement	Open	N	SharePoint
HR.5.6	Continuing professional development	Career professional development course management for academic staff	End of relationship with university + 6	Secure disposal	Business requirement	Confidential	Y	Develop; ERP; Blackboard
HR.5.7	Training development (non-statutory) **Note:** For COSHH training see Health and Safety section	Training attendance and completion registers	End of employment + 6	Secure disposal	Business requirement	Confidential	Y	Develop; SharePoint
HR.6	**STAFF PERFORMANCE MANAGEMENT**							**HR**
HR.6.1	Managing performance and development	Annual staff review; development and welfare; probation forms; mandatory training reporting	End of employment + 6	Secure disposal	Business requirement	Confidential	Y	Develop
HR.6.2	Summary (anonymised) results of employees' performance		CAY + 3	Secure disposal	Business requirement	Open	N	

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification of Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
	assessments							
HR.6.3	Promotion management	Re-grading confirmation and justifications; increments, supporting documentation	End of employment + 6 years	Secure disposal	Business requirement	Confidential-sensitive	Y	ERP
HR.7	**INDUSTRIAL RELATIONS**							**HR**
HR.7.1	Trade union agreements	Contractual agreements	End of agreement +10 years	Secure disposal	Limitation Act 1980	Open		Network drives
HR.7.2	Recognition/de-recognition of trade unions		Recognition/end of + 6 years	Secure disposal	Limitation Act 1980	Confidential	Y	
HR.7.3	Trade union consultation and negotiation		Last action + 3	Transfer to University Archives	Business requirement	Confidential	Y	
HR.7.4	Routine communications with trade unions		CY+ 6	Secure disposal	Limitation act 1980	Confidential	y	Email exchange
HR.8	**EMPLOYEE RELATIONS**							**HR**
HR.8.1	Managing grievance, capability, and disciplinary	Casework **Note:** For records relating to occupational health, see HS.2.7.	End of employment + 6 years	Secure disposal	Business requirement	Confidential-sensitive	Y	F2

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REF	Functional Description (Activity)	Record Types (Process)	Retention Period	Action at end of Retention Period	Justification of Legal Requirement	Security Classification	Contains Personal data (Y/N)	Record Owner & Storage Location
HR.9	**STAFF ENGAGEMENT**							**HR**
HR.9.1	Analysis of staff evaluations	Summary (anonymised) results of surveys and consultations; trend analysis **Note:** Identifiable evaluations should be anonymised after 1 year	Completion of analysis +10 years	Transfer to University Archives	Business requirement	Open	N	SharePoint; JISC (raw data)
HR.9.2	Staff recognition	Star awards; awards nominations; thank-you notes	Current year +3	Secure disposal	Business requirement	Confidential	Y	Staff recognition MS forms, Email exchange
HR.10	**EQUALITY, DIVERSITY AND INCLUSION**							**HR**
HR.10.1	Managing EDI accreditation	Athena Swan	Publication +1 year	Transfer submission to University Archives	ED Athena Swan Charter 2005	Confidential	N	SharePoint
HR.10.2	Staff and student demographic data	Demographic raw and synthesised data	CY + 6	Transfer to University Archives	Business requirement	Confidential; Open when anonymised	N	

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HR.10.3	Engagement with groups and events	Feedback forms	Collection of data +1 year (anonymise if retaining longer)	Secure disposal	Business requirement	Confidential; open when anonymised	Y	MS Forms; Paper Storage
HR.10.4	Statutory annual reporting and datasets	Datasets for report submission	Report submission +6 years	Secure disposal	Business requirement	Open	N	
HR.10.5	Casework	Cases	End of current year +6	Secure disposal	Business requirement	Confidential	Y	F2
HR.10.6	Carrying out Equality Impact Assessments	Equality Impact Assessment Reports	Date of assessment +6 years	Secure disposal	Limitations Act 1980; Equalities Act 2010.	Confidential	Y	

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