

Retention Schedule

Retention Schedules are used to determine how long records should be kept. This Records Retention Schedule collates the information into the following categories:

- [1. Corporate & Governance](#)
- [2. Finance, Planning & Analytics](#)
- [3. People & Strategy](#)
- [4. Estates & Facilities](#)
- [5. Systems & Technology](#)
- [6. Student Pre-entry & Admissions](#)
- [7. Student Enrolment- Graduation](#)
- [8. Student Lifecycle](#)
- [9. Other Services](#)
- [10. Residential Services](#)
- [11. Research & Enterprise](#)
- [12. Dept's & Institutes](#)
- [13. Engagement & Advancement](#)
- [14. Health & Safety](#)
- [15. Library](#)

This list is not exhaustive, but covers the basic types of records stored by the University. It is for guidance only and there may be records that you are justified in keeping longer than the timeframe given here. In general, section 58 Limitations Act 1980 sets out a time limit of the current year plus 6 years to seek legal redress and this informs the Schedule. If you are unsure about a group of records or they aren't listed here, please contact Legal Services.

The Schedule provides the record holder for each record type listed. For administrative reasons, multiple departments may keep duplicates of the same record. These duplicates should not be kept for longer than the retention period.

It is essential that all records are dated and stored in a manner that clearly identifies the year of creation.

Some records are retained for an academic year, a fiscal year or a calendar year. In the event of the Schedule stating that the records can be disposed of after 3 academic years (for example) it is advisable to read this as 'after the end of the'. For example, a record created in the academic year 2016/2017, with a 'three-year retention period' could be considered for disposal after 31st December 2020.

There is an expectation by students, employers and Government agencies and members of the public that Universities should retain a permanent core record of student names, the modules and qualifications studied and their outcomes.

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Southampton

Corporate & Governance

Governance and Management contains records relating to Audits, Decision-Making and Management, Government and Regulator Relations, Corporate Records and Legal and Insurance Records.

If there are any queries about records within Corporate & Governance please contact Barbara Halliday

Audit		
Activities	Retention Period	Basis for retaining the data
Audit Files	Maximum of: completion of next audit of the topic; 3 years, unless sound reasons for keeping longer	Business need
Audit Investigations	3 years after investigation of the audit unless sound reasons for keeping longer	Business need
Audit Reports	Permanent Retention	Business need

Decision Making and Management

Activities	Retention Period	Basis for retaining the data
Council	Permanent Retention	Business need
Audit Committee	Permanent Retention	Business need
Equality, Diversity and Inclusion Committee	Permanent Retention	Business need
Finance Committee	Permanent Retention	Business need
Nominations Committee	Permanent Retention	Business need
Senior Salaries Committee	Permanent Retention	Business need
Standing Committee of Council	Permanent Retention	Business need
Health and Safety Audit and Assurance Committee	Permanent Retention	Business need
Consultative Health and Safety Committee	Permanent Retention	Business need
Genetic Modification and Biosafety Committee	Permanent Retention	Business need
The Senate	Permanent Retention	Business need
Academic Quality and Standards Committee	Permanent Retention	Business need
External Research Degrees Committee	Permanent Retention	Business need
Military Education Committee	Permanent Retention	Business need
Senate Appeals Committee	Permanent Retention	Business need
Student Discipline Committees	Permanent Retention	Business need
Negotiating Committees	Permanent Retention	Business need
Research, Integrity and Governance Committee	Permanent Retention	Business need
University Ethics Committee	Permanent Retention	Business need
University Executive Board	Permanent Retention	Business need
Strategy and Planning Committee/Board	Permanent Retention	Business need
USSP	Permanent Retention	Business need
Capital Programmes Board	Permanent Retention	Business need
Academic Boards	Permanent Retention	Business need
Adhoc working groups not reporting to a University committee	Permanent Retention	Business need
Adhoc working groups reporting to a University committee	Permanent Retention	Business need
Faculty Executive Group	Permanent Retention	Business need
Career's Advisory Boards	Permanent Retention	Business need
Committee for Special Appointments	Permanent Retention	Business need
Honorary Degrees Committee	Permanent Retention	Business need
Joint Consultative Committee	Permanent Retention	Business need
Remuneration Committee (previously Senior Salaries)	Permanent Retention	Business need
Any other Boards and Committees	Permanent Retention	Business need

Government and Regulator Relations

Activities	Retention Period	Basis for retaining the data
HEFCE circulars	End of the current calendar year + 3 years	Business need
HEFCE correspondence	End of the current academic year + 6 years	Business need
HESA Individual Student Record (ISR) returns	Permanent Retention	Business need
Quality Assurance Agency (QAA) correspondence	End of the current academic year + 6 years	Business need
Training and Development Agency for Schools (TDA) correspondence	End of the current academic year + 6 years	Business need
Universities UK circulars and correspondence	End of the current calendar year + 3 years	Business need

Corporate Records

Activities	Retention Period	Basis for retaining the data
Calendar	Permanent Retention	Business need
Charter and Statutes	Permanent Retention	Business need
University Regulations	Permanent Retention	Business need
Administration		
Activities	Retention Period	Basis for retaining the data
Board Meetings	Permanent Retention	Legacy and business need
Faculty Governance Meetings	Permanent Retention	Business need
Team meetings	5 year	Business need

Papers not covered elsewhere e.g covering letters/reminders/letters making appointments/anonymous letters/routine reports/office diaries	1 year	Business need
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Legal Records

Activities	Retention Period	Basis for retaining the data
Copyright Registrations	Permanent Retention	Business need
Patents, patent applications, supporting documents	Permanent Retention	Business need
Real estate documents (including loan, mortgage contracts, deeds)	Permanent Retention	Business need
Stock and bond records	Permanent Retention	Business need
Trademark registrations, evidence of documents	Permanent Retention	Business need
Warranties	Duration of Warranty + 7 years	Legal Proceedings
Contracts	Permanant if current (7 years if expired)	Legal Proceedings
Records of the devlopment and establishment of the University's policies on legal affairs and the acquisition/provision of legal services	5 years	Business need
Records of the provision of legal support and representation in delaing with claims by or against the University which do not proceed to litigation or settleemnt by agrrement	Settlement of claim + 6 years or withdrawal of claim + 6 years	Business need
Records of litigation between the University and third parties where legal precedents set	Life of the University	Business need
Records of legal support for negotiation, establishment and review of contracts and agreements; agreements under seal	Termination of contract + 12 years	Business need
Records of legal support for negotiation, establishment and review of contracts and agreements; other contracts/agreements	Termination of contract + 6 years	Business need
Records of Data Protection compliance	Permanent Retention	Business need
Records of Freedom of Information Compliance	Permanent Retention	Business need
Records of Environmental Information Compliance	Permanent Retention	Business need
Freedom of Information Requests	Close of query + 6 years	Business need
Data Protection Subject Access Requests	Close of query + 6 years	Business need
Guidance from the Information Commissioner's Office	Until superseded	Legal Proceedings

Intellectual Property Rights Management

Activities	Retention Period	Basis for retaining the data
Contracts and Agreements	Permanent retention	Legal Proceedings
Correspondence	Permanent retention	Legal Proceedings
Patents Applications and Renewals	Permanent retention	Legal Proceedings
Patents Correspondence	Permanent retention	Legal Proceedings

Vice Chancellor's Office

Activities	Retention Period	Basis for retaining the data
Outlook Contact and Calendars List	Retained until contact deleted by iSolutions	Business need
Executive and EA Working Data	Permanent Retention	Business need
Archive (3rd Floor)	Permanent Retention	Business need
Recruitment Data	Permanent Retention	Business need
HR Authorisation Requests	Permanent Retention	Business need
Disciplinary Actions	Permanent Retention	Business need
USMC	Permanent Retention	Business need

Insurance Records

Activities	Retention Period	Basis for retaining the data
Insurance claims/applications	Permanent Retention	Limitation Act
Insurance disbursements and denials	Permanent Retention	Limitation Act
Insurance contracts and policies (Directors and Officers, General Liability, Property, worker's Compensation)	Permanent Retention	Limitation Act
Completed claims files - general	1 year	
Completed claims - injury or illness	4 years after the date of the incident or 1 year after the claim is completed (whichever is the longer period).where an injury involves a child these rules should apply from the child's 18th birthday.	Limitation Act
Contract claims (Financial loss/prof negligence)	6 years unless under contract/deed 12 years	Limitation Act
Records of Employer's Liability, Public Liability and Clinical Trials Insurance.	Retain for at least 40 years - longer if possible	University Insurance Record Keeping and Retention
Records of Professional Negligence cover .	Retain for 12 years	University Insurance Record Keeping and Retention
Records of Directors and Officers Liability and Pension Fund Trustees Liability insurance	Retain for 10 years	University Insurance Record Keeping and Retention
Records of property insurance are destroyed 1 year after cover has finished or all claims are concluded (whichever is the longer period)	Retain for 1 year after cover finished or all claims concluded (whichever is the longer period)	University Insurance Record Keeping and Retention
Renewals papers are scanned to SharePoint insure/ Admin/renewals once renewal has concluded and the paper copy retain	Retain for 18 months	University Insurance Record Keeping and Retention
S24 reports - general	Retain for 5 years	University Insurance Record Keeping and Retention
S24 reports - asbestos claims	Indefinitely	University Insurance Record Keeping and Retention

Government and Regulator Relations

Activities	Retention Period	Basis for retaining the data
HEFCE Circulars	End of the current calendar year + 3 years	Business need
HEFCE Correspondence	End of the current academic year + 6 years	Business need
HESA Individual Student Record Returns	Permanent Retention	Business need

Quality Assurance Agency Correspondence	End of the current academic year + 6 years	Business need
Training and Development Agency for Schools Correspondence	End of the current academic year + 6 years	Business need
Universities UK Circulars and Correspondence	End of the current calendar year + 3 years	Business need

Finance, Planning and Analytics

Finance, Planning and Analytics contains records relating to Procurement, Office of Executive Director of Finance and Planning, Financial Management, Payroll and Pensions and Tax Services.

If there are any queries about records within Finance, Planning and Analytics please contact Mary White

Procurement		
Activities	Retention Period	Basis for retaining the data
Cloned Tender files	6 years period of six financial years after completion of the contract	d 58 Limitations Act 1980 & University Finance Regulations
Contracts/Agreements	6 years period of six financial years after completion of the contract	d 58 Limitations Act 1980 & University Finance Regulations
E-Tender Correspondance	6 years period of six financial years after completion of the contract	d 58 Limitations Act 1980 & University Finance Regulations
E-Auction Correspondance	6 years period of six financial years after completion of the contract	d 58 Limitations Act 1980 & University Finance Regulations
Requisition quotes under tender threshold	Length of Contract Agreement + 1 year	University Finance Regulations
Insurance Claims - Liability/Personal Injury/Nurture/Property and Other Claims	6 financial years plus the current financial year	University Finance Regulations
Insurance Policies	Indefinitely	University Finance Regulations

Office of Executive Director of Finance and Planning		
Activities	Retention Period	Basis for retaining the data
Finance Committee Papers	Permanent Retention	Business Requirement

Financial Management		
Activities	Retention Period	Basis for retaining the data
Agresso Sales Invoices	6 financial years	s386 and s388 of Companies Act 2006
Agresso Supplier Invoices	6 financial years	s386 and s388 of Companies Act 2006
Agresso Expense Claims	6 financial years	s386 and s388 of Companies Act 2006
Agresso Time Sheets	6 financial years	s386 and s388 of Companies Act 2006
Agresso Credit Card Journals	6 financial years	s386 and s388 of Companies Act 2006
Agresso Nominal Ledger	Indefinitely	University Financial Regulations
Insurance Policy Documents	Indefinitely	University Financial Regulations
Insurance Claims Documents	6 financial years + current financial year	Limitation Act 1980
Statutory Returns: Tax Returns	Indefinitely	The Income Tax (Employments) Regulations 1993 (SI 1993/744) as amended
Statutory Returns: Assessments	Indefinitely	University Financial Regulations
Financial Statement for the University	Indefinitely	University Financial Regulations
Treasury Bank Statements	6 financial years + current financial year	University Financial Regulations
Treasury Direct Debit Mandates	2 financial years + current financial year	University Financial Regulations
Treasury Bank Mandates	Indefinitely	University Financial Regulations
Treasury Money Transfer Instructions	6 financial years + current financial year	University Financial Regulations
Treasury Contract Notes for Fixed Term Deposits	6 financial years + current financial year	University Financial Regulations
Treasury Loan Documents	6 financial years + period of the loan	University Financial Regulations
Treasury Endowment Records	Indefinitely	University Financial Regulations
Financial Information for Research Agreements	Agreement states retention, otherwise 6 years after final payment	University Financial Regulations
EU funded Projects	20 years from the end of the project	University Financial Regulations
Debt Recovery	Destroy after 7 years	Limitation Act 1980

Pensions		
Activities	Retention Period	Basis for retaining the data
Pension Records	100 years	
New USS Member	100 years	Contractual Necessity
New NEST Member	100 years	Legal Obligations
New PAXAS Member	100 years	Contractual Necessity
Trustee Names	100 years	Pensions Act 2014 & Financial Regulations
Trustee Addresses	100 years	Pensions Act 2014 & Financial Regulations
Trustee Telephone Numbers	100 years	Pensions Act 2014 & Financial Regulations
Trustee Bank Details	100 years	Pensions Act 2014 & Financial Regulations
Trustee ID Documents	100 years	Pensions Act 2014 & Financial Regulations

Tax Services		
Activities	Retention Period	Basis for retaining the data
Records of the preparation and filing of the University's tax returns	Indefinitely for tax purposes	Professional advice & Companies Act 2006
Tax assessments	Indefinitely for tax purposes	Professional advice & Companies Act 2006
Related correspondence (esp Corporation tax, specific revenue rulings and clearances, trading losses etc)	Indefinitely for tax purposes	Professional advice & Companies Act 2006

Payroll Records		
Activities	Retention Period	Basis for retaining the data
Records of employees authorisation for non statutory payroll deductions	Current tax year + 6 years	Income Tax (Employment) Regulations 1993
Records of calculation and payment of payroll payments to employees	Current tax year + 6 years	Income Tax (Employment) Regulations 1993
Records of the operation of the Statutory Maternity Pay Scheme	Current tax year + 6 years	Statutory Maternity Pay (General) Regulations 1982
Records of the operation of the Statutory Sick Pay Scheme	Current tax year + 6 years	Statutory Sick Pay (General) Regulations 1982
Records of the operation of the childcare voucher scheme	Current tax year + 6 years	Limitation Act 1980
Records of the operation of cycle to work	Current tax year + 6 years	Limitation Act 1980
Records of P11D returns to HMRC	Current tax year + 6 years	Income Tax (Employment) Regulations 1993
Records of the Paye Settlement Agreements	Current tax year + 6 years	Limitation Act 1980
Paper Payroll Records	Current tax year + 6 years	Income Tax (Employment) Regulations 1993

People & Strategy

HR contains records relating to recruitment and employee relations.

If there are any queries about HR records please contact: Christine Trotter and Paul Bonaer

Recruitment

Activity	Retention Period	Basis for retaining the data
Recruitment - internal discussions for new posts	Until process complete	Business Need
Recruitment and selection including advert, applications, interview notes, testing material and all information related to ALL candidates (including unsuccessful candidates)	12 months	Defend against claims about the recruitment process & Limitation Act 1980
Online Staff Request Form	12 months	Defend against claims about the recruitment process & Limitation Act 1980
Candidate details supplied by 3rd Party Agency	12 months	Defend against claims about the recruitment process & Limitation Act 1980
Successful candidates only: application, CV, offer and acceptance letters, references	7 years after end of employment	Performance of contract & Limitation Act 1980
Successful candidates only: DBS check (offer confirmed)	Successful candidates only: DBS check (offer confirmed)	Performance of contract & Limitation Act 1980
Successful candidates only: DBS check (offer withdrawn)	12 months	Compliance with legal obligations
Core personal details of each member of staff: name, date of birth, NI number, next of kin, qualifications relevant to job, professional number	7 years after end of employment	Performance of contract & Limitation Act 1980
Right to work evidence	2 years after end of employment	Immigration, Asylum and Nationality Act 2006
Contract and terms of employment and changes made to terms	7 years after end of employment	Performance of contract & Limitation Act 1980
Record of previous service date	7 years after end of employment	Performance of contract & Limitation Act 1980
Recording sickness absence and statutory maternity leave data	7 years after end of employment	Performance of contract & Limitation Act 1980, The Statutory Maternity Pay (General) Regulations 1986 (SI 1986/1960) as amended and Statutory Sick Pay (General) Regulations 1982
Unpaid leave periods	7 years after end of employment	Performance of contract & Limitation Act 1980
Family friendly leave requests and correspondence	7 years after end of employment	Performance of contract & Limitation Act 1980
Secondment arrangements	7 years after end of employment	Performance of contract & Limitation Act 1980
Records of disciplinary or capability or grievance data	Retained for as long as necessary and not before expiry of period of sanction + 7 years	Performance of contract & Limitation Act 1980
Monthly payroll instructions	7 years after end of employment	
Payroll input forms	7 years after end of employment	
Records of hours worked and working patterns	7 years after end of employment	Section 9 National Minimum Wage Act 1998, regulation 59 NMW Regulations 2015
Training and development including induction, training, probation and appraisals/performance records	7 years after end of employment	Performance of contract & Limitation Act 1980
Records of hours worked and working patterns	7 years after end of employment	Section 9 National Minimum Wage Act 1998, regulation 59 NMW Regulations 2015
Pensionable pay at leaving, reckonable service for pension purpose	7 years after end of employment	
Bank details	7 years after end of employment	
Overpayment documentation	7 years after end of employment	Employment Rights Act 1996 [Part II, Section 14(1)]
Termination for individual (pay arrangements, redundancy)	7 years after end of employment	Employment Rights Act 1996 (Part XI)
Advance for season ticket, bicycle loan, car loan	7 years after end of employment	Consumer Credit Act 1974
Reward and benefit details for individual	7 Years after end of Tribunal outcome	Limitation Act 1980
Employment Tribunal data	7 Years after end of Tribunal outcome	Limitation Act 1980

Estates and Facilities

Estates and Facilities contains records relating to Maintenance, Grounds and Development and Security Services.

If there are any queries about records relating to Estates and Facilities please contact Amanda Caspari

Estates Strategy Development

Activities	Retention Period	Basis for retaining the data
Key records documenting the development and establishment of the University of Southampton Estate Strategy	10 years from date superceded or reviewed for permanent archiving after 10 years	JISC HE Business Classification Scheme and Records Retention Schedules
Working papers documenting the development and establishment of the University of Southampton Estate Strategy	1 year from date superceded	JISC HE Business Classification Scheme and Records Retention Schedules

Property Management

Activities	Retention Period	Basis for retaining the data
Records documenting the acquisition: all records relating to property acquisition through purchase, transfer, donation, lease or transfer	12 years from disposal of the property (assuming that the property contracts are executed as deeds) - review for transfer to new owner. For other types of contracts, the retention period may be 6 years	JISC HE Business Classification Scheme and Records Retention Schedules
Deeds and certificates of titles for properties owned by the University	Transfer to new owner if sold on disposal of the property	JISC HE Business Classification Scheme and Records Retention Schedules
Property negotiation where the property was not acquired	6 years from date of negotiation closure	JISC HE Business Classification Scheme and Records Retention Schedules
Lease negotiation	15 years from date of lease expiry	JISC HE Business Classification Scheme and Records Retention Schedules
Subletting Agreements	Keep in safe custody for 12 years after termination	National Archives Information Management Schedule - Buildings
Wayleave Agreements	Keep in safe custody for 12 years after termination	National Archives Information Management Schedule - Buildings
Memoranda of Terms	Keep in safe custody for 16 years after termination	National Archives Information Management Schedule - Buildings

Landlords' Consents	Keep in safe custody for 16 years after surrender, expiry or termination of lease or memorandum of terms	National Archives Information Management Schedule - Buildings
Records documenting the development of properties, buildings and land, new and existing. Includes consultations, building spec, planning and inspections	Review for transfer to new owner on disposal of property	JISC HE Business Classification Scheme and Records Retention Schedules
Planning consents and applications, incl associated specifications and plans	Transfer to new owner if sold or otherwise on disposal of property or expiry of consent	JISC HE Business Classification Scheme and Records Retention Schedules
Contracts for the supply of goods, works or services	6 years from termination of contract or 12 years if under seal	Limitation Act 1980
Survey & inspections	2 years from date paper issued. Master copy will remain permanently on Concerto.	National Archives Information Management Schedule - Buildings
Tender documents: accepted	6 years from termination of contract	Limitation Act 1980
Tender documents: rejected	1 year from award of supply contract	JISC HE Business Classification Scheme and Records Retention Schedules
Purchase orders	6 years from end of financial year	Limitation Act 1980
Records documenting leasing out arrangements for properties from/to third parties (signed contracts only)	12 years from termination of lease (assuming that the property contracts are executed as deeds). For other types of contracts, the retention period may be 6 years	Limitation Act 1980 c.58 s8
Records documenting disposal of properties, including obtaining valuations, undertaking surveys.	12 years from disposal of the property (assuming that the property contracts are executed as deeds) For other types of contracts, the retention period may be 6 years	Limitation Act 1980

Licences

Activities	Retention Period	Basis for retaining the data
Schedules of known tenant alterations	Keep in safe custody for 16 years after surrender, expiry or termination of lease or memorandum of terms	National Archives Information Management Schedule - Buildings
Register of records and documents deposited in safe custody	Destroy 16 years after register ceases to be current or superceded	National Archives Information Management Schedule - Buildings

Listed buildings consents and correspondance	Review 25 years after issue	National Archives Information Management Schedule - Buildings
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Health & Safety

Activities	Retention Period	Basis for retaining the data
File for a structure	Life of the structure until demolition of the property or disposal of interest in the property/ transfer to new owner	Regulation 12 & 14(d) of the Construction (Design and Management) Regulations 1994 (SI 1994/3140)

Security Services

Activities	Retention Period	Basis for retaining the data
CCTV - Public	30 day automatic overwrite	Industry standard
CCTV - Archived	30 day automatic overwrite	Industry standard
Lost Property	3 months	Industry standard.
Staff Details (emergency Contacts)	On termination of employment	Administrative business need
Recording performance, sickness absence and statutory maternity leave data	7 years after end of employment	Performance of contract & Limitation Act 1980,The Statutory Maternity Pay (General) Regulations 1986 (SI 1986/1960) as amended and Statutory Sick Pay (General) Regulations 1982
Incident Reports	Date of incident + 6 years	For legal proceedings & business need
CCTV - DVD Archive	Not collected within 30 days unless speci	Business need
Images of Suspects	On review but destroyed after 30 days unless there is a continued risk	Business need
Pocket Book Records	Date of record + 6 years	For legal proceedings & business need
Oracle' Staff Details	As and when updated on the system	Administrative business need
Symmetry Door system	Never	N/A
Noticeboards - staff details/rotas	Monthly	Administrative business need
CCR Admin paperwork/DOB's	Date of record + 6 years	For legal proceedings & business need
My HR - Staff details	7 years after end of employment	Performance of contract & Limitation Act 1980
Staff Payroll	7 years after end of employment	Performance of contract & Limitation Act 1980
Op Orders	5 years	retained to provide evidence of event planning (risk), and to aid future planning.
Investigation Reports	6 years but retain for longer on management agreement if a particular incident is deemed significant	For legal proceedings & business need
Recruitment and selection including advert, applications, interview notes, testing material and all information related to ALL candidates (including unsuccessful candidates)	12 months	Defend against claims about the recruitment process & Limitation Act 1980
Contract Security Roster	Date of record + 6 years	For legal proceedings & business need
SIA Licenses - openly worn	On termination of contract	Business need
TRBONET	Automatic after 30 days	Industry standard

CCR Phone recording	Automatic after 30 days	Industry standard
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Systems & Technology

Systems & Technology contains records relating to Business Systems, Archives and Technology

If there are any queries about records relating to Systems & Technology please contact Kevin Shaw

Business Systems

Activities	Retention Period	Basis for retaining the data
Agresso	Full back up every night; tapes kept for 12 weeks. Data retention controlled by clients. Legacy data from previous systems also retained and controlled by clients.	Disaster Recovery - business need
ResourceLink	Full back up every night; tapes kept for 12 weeks. Data retention controlled by clients. Legacy data from previous systems also retained and controlled by clients.	Disaster Recovery - business need
Contents of Email Servers	Backups of exchange email servers performed weekly with daily incrementals. Emails cannot be deleted to a set timescale as contents vary and some are records of business activity. Backups kept for 12 weeks	Disaster Recovery - business need
Email Server Logs	Generated daily and retained for 4-5 days on server (backup retained for 12 weeks)	Service Management & Operations
Contents of Exchange Post Office Mail Logs	Generated daily and retained for 4-5 days on server (backup retained for 12 weeks)	Service Management & Operations

Development of ICT systems

Activities	Retention Period	Basis for retaining the data
12.1.1 Development, modification and maintenance of core ICT systems	Decommissioning of system + 5 years	business need
12.1.2 Initial development of core ICT systems that are not implemented	Last action towards development + 5 years	business need
12.1.3 Development of new, non-core ICT systems (usually held as project management records)	Termination of project + 5 years	business need
Operation of ICT systems		
Activities	Retention Period	Basis for retaining the data
12.2.1 Routine monitoring of ICT systems and actions taken to rectify problems	End of current academic year + 1 year	business need
12.2.2 Software licences	Until superseded by new licence + 6 months	business need

12.2.3 Email and connection log data	Date of log + 6 months	business need
12.2.4 Web usage log data	Date of log + 1 month	business need
12.2.5 Anonymised summaries of log data	While necessary for reference and future planning purposes	business need
Security of ICT systems		
Activities	Retention Period	Basis for retaining the data
12.3.1 Records documenting attempted or actual security breaches of ICT systems and action taken	Last action on breach + 3 years	business need
12.3.2 Records documenting extraordinary institutional access to individual ICT user accounts	End of access period + 3 years	business need
User support for ICT systems		
Activities	Retention Period	Basis for retaining the data
12.4.1 Development and content of ICT training programmes	Until superseded by new programmes + 2 years	business need
12.4.2 Logs of requests for assistance from ICT system users and action taken	Date of log + 1 year	Business requirement

Student Lifecycle -Pre-entry and Admissions

Student Lifecycle contains records relating to Pre-Entry; Admissions; Academic Management including Enrolment, Registration, Assessment, Academic Support, Awards and award or leaving; Student finance, fees and funding; Complaints, Appeals and Student Discipline; Enabling Services, student support and additional requirements, Accommodation; Student CRM , Careers

If there are any queries about records relating to the Student Services please contact Sara McDonald

Data required for management, development and research may be retained outside the student records systems for the long term. In storing this data, the name and address of a student will be removed and the data will not be used to support any actions or decisions that affect or cause distress or damage to the individual. The exception will be research data which with student agreement requires follow-up contact.

Pre-Entry
Activities
Prospect enquiry
Prospect enquiry that leads to an application
Health declarations relating to on campus events
Outreach participants funded by a Government body
Professional contact details of schools and college staff
Agent contact details
Admission
Activities
All applications to the University of Southampton at all levels - including application forms and decision making documentation (electronic files)
All applications to the University of Southampton at all levels - including application forms and decision making documentation (hard copy files)

DBS Checks
DBS Issue Number and Date
Student Ambassadors registration details

Where it is indicated that records will be destroyed, please anonymise the personal data in the record and retain the information for reporting purposes

Retention Period
12 months after the proposed year of entry OR 24 months after record created
Permanent retention
6 weeks after the event for which the event was provided
30 years
Paid subscriptions - as per the contracted term. Otherwise, 3 years after the last documented interaction
Duration of contract or 12 months after termination of contract
Retention Period
Permanent retention
End of application cycle + one year

On termination of employment or on graduation of that individual*
On termination of employment or on graduation of that individual
On termination of employment or on graduation of that individual

Basis for retaining the data
Business need
Business need - forms part of the core student record
Public task - in order to make appropriate provisions for individual at on campus events
Business need
Business need
Contract
Basis for retaining the data
Business need and form part of the core student record.
Business need and form part of the core student record.

Performance of contract & Limitation Act 1980
Performance of contract & Limitation Act 1980
Contract

Student Enrolment to Graduation

Student Services contains records relating to Pre-Entry; Admissions; Academic Management including Enrolment, Registration, Assessment, Academic Support, Awards and award or leaving; Student finance, fees and funding; Complaints, Appeals and Student Discipline; Enabling Services, student support and additional requirements, Accommodation; Student CRM . Careers

If there are any queries about records relating to the Student Lifecycle please contact Sara McDonald

Data required for management, development and research may be retained outside the student records systems for the long term. In storing this data, the name and address of a student will be removed and the data will not be used to support any actions or decisions that affect or cause distress or damage to the individual. The exception will be research data which with student agreement requires follow-up contact.

Where it is indicated that records will be destroyed, please anonymise the personal data in the record and retain the information for reporting purposes

Student Finance, Fees and funding		
Activities	Retention Period	Basis for retaining the data
Tuition Fees	Award or leaving + 6 years	Administrative business need
Student Loans Company interactions	Terms of contract or Current financial year + 6 years whichever is the longer	Administrative business need
Bursaries	Current financial year + 6 years	Administrative business need
Debts	Permanent Retention	For legal proceedings & business need
Funding Applications	Award or leaving + 6 years	Administrative business need
Hardship Fund Documentation	End of funding + 6 years	Administrative business need
Postgraduate sponsorship agreements/award letters	Award or leaving + 6 years	Administrative business need
US Loan Student Files	Terms of contract or Current financial year + 6 years whichever is the longer	Administrative business need
Student Support Fund Applications and Supporting Evidence	Retain for administrative purposes and destroy when no longer current	Administrative business need
Student Support Fund - Applications Matrix	Retain for administrative purposes and destroy when no longer current	Administrative business need
Student Support Fund - Appointments	Retain for administrative purposes and destroy when no longer current	Administrative business need
Accommodation		
Activities	Retention Period	Basis for retaining the data
Accommodation Application Forms	Retain for administrative purposes and destroy when no longer current	Administrative business need
Accommodation Residency Offer and Payment Schedule	award or leaving + 6 years	Administrative business need
Accommodation Residency Contracts	End of contract + 6 years	Administrative business need
Accommodation Personal Details Forms	Retain for administrative purposes and destroy when no longer current	Administrative business need

Accommodation Termination Notifications	Retain for administrative purposes and destroy when no longer current	Administrative business need
Incident Logs	Date of incident + 6 years	For legal proceedings & business need
Incident Logs and Notes	Date of incident + 6 years	For legal proceedings & business need
Handover logs - shift and Residential Services	Date of record + 6 years	Administrative business need
PEEP Documents	Retain for administrative purposes and destroy when no longer current	Administrative business need
Event Photographs	Retain for administrative purposes and destroy when no longer current	Administrative business need
Complaints, Appeals & Student Discipline		
Activities	Retention Period	Basis for retaining the data
Offences dealt with by Security	Settlement of case + 6 years	For legal proceedings & business need
Traffic Offences	Settlement of case + 3 years	For legal proceedings & business need
Minor Offences relating to IS	Settlement of case + 6 years	For legal proceedings & business need
Minor Offences relating to Accommodation	Settlement of case + 6 years	For legal proceedings & business need
Documentation relating to Academic Offences	Settlement of case + 6 years	For legal proceedings & business need
Academic Offences Outcome Letters	Settlement of case + 6 years	For legal proceedings & business need
Documentation relation to appeals (leading to Professional Registration)	Permanent Retention	For Professional Bodies reference
Documentation relating to appeals	Settlement of case + 6 years	For legal proceedings & business need
Documentation referred to by Fitness to Practice Committees	Permanent Retention	For Professional Bodies reference
Offences dealt with by Senate Disciplinary Committee	Settlement of case + 6 years	For legal proceedings & business need
Offences dealt with by PVC for Student Experience	Settlement of case + 6 years	For legal proceedings & business need
Suspensions	Settlement of case + 6 years	For legal proceedings & business need
Support for Failing Students	award or leaving + 6 years	Administrative business need
Staff Student Consultative Committees	Current academic year + 5 years	Administrative business need
Careers		
Activities	Retention Period	Basis for retaining the data
Careers Advice (Tracking Student Use of Service)	award or leaving + 6 years	Administrative business need
Careers Advice (Notes on Meetings with Students)	award or leaving + 6 years	Administrative business need
Support for Failing Students	award or leaving + 6 years	Administrative business need
Enabling Services, student support and additional requirements,		
Activities	Retention Period	Basis for retaining the data
Counselling Service	Completion of Casework + 5 years	Administrative business need
Disability Issues (leading to Professional Qualification)	award or leaving + 50 years	Business need
Disability Issues	award or leaving + 6 years	Administrative business need
Records of Informal Pastoral Care	award or leaving + 1 year	Administrative business need
Special Arrangements for Teaching and Learning (Applications)	award or leaving + 6 years	Administrative business need
Special Arrangements for Teaching and Learning (Medical Assessment)	award or leaving + 6 years	Administrative business need
Special Arrangements for Teaching and Learning (Academic Referral)	award or leaving + 6 years	Administrative business need
Care Leaver Lists	Retain for administrative purposes and destroy when no longer current	Administrative business need

Care Leaver Supporting Evidence	Retain for administrative purposes and destroy when no longer current	Administrative business need
Care Leaver's dual consent forms	Retain for administrative purposes and destroy when no longer current	Administrative business need
ACAD		
Activities	Retention Period	Basis for retaining the data
Students' personal data and entry profile		
Names and ID numbers	Permanent Retention in Institution Student System and Identity Management System.	To retain a core record and business need
Passport and Visa information	Award or leaving + 1 year	UK Immigration legislation requirements
Addresses	Award or leaving + 1 year	Business need
Email addresses	Award or leaving + 2 years	To be able to undertake the HESA Graduate Outcomes survey
Telephone numbers	Award or leaving + 2 years	To be able to undertake the HESA Graduate Outcomes survey
Sensitive personal data (disability, ethnicity, gender, sexual orientation etc.)	Permanent Retention	To retain a core record and business need
Qualifications on entry	Permanent Retention	Business need
Students' curriculum		
Programme enrolment	Permanent Retention	To retain a core record and business need
Module registrations (completed modules)	Permanent Retention	To retain a core record and business need
Module registrations (uncompleted modules)	Permanent Retention	To retain a core record and business need
Project selection	Completion of academic year in which the project is undertaken	To retain a core record and business need
Programme transfers, including change of circumstances to SLC	Permanent Retention	To retain a core record and business need
Programme suspensions, including change of circumstances to SLC	Permanent Retention	To retain a core record and business need
Programme withdrawals, including change of circumstances to SLC	Permanent Retention	To retain a core record and business need
Application to study a Minor	Award or leaving + 1 years	Business need
Attendance monitoring, including registers	Award or leaving + 1 years	Business need
Supervision records	Award or leaving + 6 years	The Limitation Act 1980
Research Student Milestone Tracking	Permanent Retention	To retain a core student record
Postgraduate Research Student training records	Permanent Retention	To retain a core record and business need
Additional information about Fieldwork or Study Abroad that is not contained in Module registrations or assessment, including student photos	Completion of Fieldwork or Study Abroad	Business need
Exchanges	Permanent retention in Banner Award or leaving + 6 years for other data	To retain a core record and business need
Clinical placements	Permanent retention in Banner Award or leaving + 6 years for other data	To retain a core record and business need
Work or other placements	Permanent retention in Banner Award or leaving + 6 years for other data	To retain a core record and business need
Students' assessment and performance record		
Electronically submitted assignments	Award or leaving + 1 year	To enable students to view previously submitted assignments
Transcripts	Permanent retention	Administrative business need

Paper assignments including Dissertation	Normally the end of the academic year or after the Board of Examiners have met and the marks have been signed off by an External Examiners Samples are retained for up to three years for assignments that lead to an accredited programme	In case of queries about the marking and to support the accreditation of programmes
Research Thesis	Permanent	To retain a core record and business need
Additional Exam Requirements logs and reports from Enabling Services	End of Academic Year + 6 months	Business need
Mark spreadsheets	Normally 1 year after the Board of Examiners have met and the marks have been signed off by an External Examiner. This period will be extended to 6 years where the marks are not loaded into Banner at the same level of detail that is in the spreadsheet. The marks will be retained permanently where they contribute to a programme leading to professional practice in Medicine or where the programme is accredited by the Nursing & Midwifery Council, the Health and Care Professions Council, the College of Occupational Therapists, the Registration Council for Clinical Physiologists and the Society of Chiropodists and Podiatrists.	Business need
Additional spreadsheets relating to the Board of Examiners process including data extracts and upload spreadsheets	Normally 1 year after the Board of Examiners have met and the marks have been signed off by an External Examiner.	In case of complaints or appeals business need
Ratified Marks	Permanent Retention	To enable verification of study and produce certificates and transcripts
Special Considerations	Permanent retention of request and outcome Institutional Student System	Administrative business need
Extension requests	Permanent retention of request and outcome Institutional Student System	Administrative business need
Academic Integrity	Permanent retention of request and outcome Institutional Student System	Administrative business need
Award and classification	Permanent Retention	Administrative business need
Annual progression outcomes	Permanent retention	Administrative business need
Documents related to Academic Integrity investigations	Date of meeting + 10 years	In case of complaints or appeals business need
Minutes of Special Considerations Boards	Date of meeting + 10 years	Administrative business need
individualised Assessment Grids	Award or leaving + 2 years	In case of complaints or appeals business need
Student Staff Liaison Committee minutes	Date of meeting + 10 years	To be able to refer to previous discussions
Boards of Examiners minutes including Assessment Grids	Permanent Retention of minutes that do not contain any student data Extracts of the minutes with student data and Assessment Grids retained for 10 years after the date of the meeting	In case of complaints or appeals business need
Fitness to practice files	Permanent Retention	To enable Professional Bodies such as the General Medical Council to access information about practicing professionals
Graduation attendance	Permanent Retention	Administrative business need
Additional Health Requirements for students and guests attending Graduation Ceremonies	1 month after ceremonies end	Administrative business need
Honorary Graduates	Permanent Retention	Administrative business need
Graduation: guests of honorary graduates and fellows, other dignitaries or invited visitors	1 month after ceremonies end	Administrative business need

Documents to support the smooth running of the graduation ceremonies which may include the names of anyone attending a graduation ceremony	At the end of the ceremonies. Destroy when no longer current	Administrative business need
Prizes awarded	Permanent Retention	Administrative business need
General student data		
Consent to share data with Councils for Council Tax Purposes	Award or leaving + 1 year	Administrative business need
Council Tax data extracts shared with Councils	End of Academic Year + 6 months	Administrative business need
Consent to share email with Southampton City Council for voter registration purposes	End of Academic Year + 6 months	Administrative business need
Voter registration data extracts shared with Southampton City Council	End of Academic Year + 6 months	Administrative business need
Disclosure and Barring Service log	Award or leaving + 6 years	The Limitation Act 1980
Room bookings made by students	End of Academic Year in which the room booking exists + 6 months	Administrative business need
Personal Academic Tutor meetings and records	Award or leaving + 6 years	The Limitation Act 1980
Academic Appeals	Award, leaving or final resolution + 6 years	The Limitation Act 1980
Complaints	Award, leaving or final resolution + 6 years	The Limitation Act 1980
Discipline	Award, leaving or final resolution + 6 years	The Limitation Act 1980
Outgoing exchange students - information held outside the institutional student system	Award or leaving + 6 years	The Limitation Act 1980
Incoming exchange students - information held outside the institutional student system	Award or leaving + 6 years	The Limitation Act 1980
PGR Authorised absences	Permanent retention	To retain a core student record
Health Sciences suspension tracking	Award or leaving + 6 years	The Limitation Act 1980
External return files, e.g. student HESA return	Award or leaving + 6 years	External reporting requirements, contractual and business need
Individual Student Files	Award or leaving + 6 years	The Limitation Act 1980
SLC download and upload data	End of Academic Year	Business Need
ITT placements and bursaries	Award or leaving + 6 years	The Limitation Act 1980

Student Lifecycle

Careers

Activities	Retention Period
Careers support, advice and guidance accessed using MyCareer	For as long as active + 4 academic years
Master spreadsheets to support students in accessing placement and internship opportunities.	4 academic years and then anonymised
Financial information that enables payment for internships or projects	End of following academic year
Event attendance data	maximum of 4 academic years and then anonymised
Event materials containing employer contact details	Recycled at the end of the academic year
Contact details of students who have undertaken employment within Careers	4 academic years
DLHE/Graduate Survey	7 academic years
Disability careers support information	4 academic years
Employers, mentees and volunteering agencies who engaged with our activities	4 academic years
Applications and interview details for students undertaking opportunities	anonymised at the end of the academic year
Feedback surveys and data collection	anonymised at the end of the academic year
Volunteering opportunities and registration of interest	End of following academic year
Student CVs submitted as part of careers advice	End of academic year
Emails	4 academic years
Alumni details for contacts who can support events and programmes	4 academic years

Career readiness test data	7 academic years
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Student Services Centre (Student Advisory Team and Financial Information and Assistance)

Activities	Retention Period
ServiceNow enquiry records	term of study plus 6 years
ServiceNow Active Store	individual retention policy by document type
ServiceNow Historic Store	Retention policy currently in place that will see all records deleted by 2025
US Loan Student Files	7 academic years
Student Support Fund Applications, Supporting Evidence and decision making data	up to 4 academic years
Care Leaver support packages	up to 4 academic years
Student photographs (ID cards)	term of study + 1 year
Financial evidence for consideration by the Student Fees Team	7 academic years

Enabling Services

Activities	Retention Period
Counselling Service	4 academic years
Disability and dyslexia assessments, support and documentation (student files)	term of study + 6 years
Information collected for booking appointments	4 academic years
Service evaluation	4 academic years
First Support interactions	award or leaving + 6 years
Learning support database	4 academic years
Needs assessment case files	award or leaving + 6 years
Workshop information, waiting lists, timesheets and invoicing related to dyslexia support	4 academic years
Enabling Drop in notes, isurveys and assessments	4 academic years

Completed exercise referrals	4 academic years
Special Considerations Memos	4 academic years
Hard copy student archives	4 academic years + phased out

Student Life

Activities	Retention Period
Incident Logs	4 academic years
Extended Reports following serious incidents	Up to 7 academic years
Service to service handover (Student Life to Residential Services)	End of current academic year
PEEP documents	4 academic years
SEEQ Documents	1 academic year

Basis for retaining the data
To ensure the University can fulfil its commitment to providing students and graduates with life long careers support.
To ensure the University can fulfil its commitment to providing students and graduates with life long careers support.
To process payments due to students
To match students with graduate opportunities that are suitable.
To provide relevant information to students unable to attend events.
To ensure students can be paid for work undertaken and the repeat work can be offered, if appropriate.
To comply with the University's legal obligation as an HEI to provide graduate employment statistics.
To provide additional support to identified student groups, as per our access agreement.
To provide a wide range of support and opportunities to University of Southampton students and ensure that the University so able to support employers, businesses and agencies.
To match students with opportunities that are suitable.
To improve our service and identify additional service provision.
To match students with opportunities that are suitable.
To ensure the University can fulfil its commitment to providing students and graduates with life long careers support.
To ensure the University can fulfil its commitment to providing students and graduates with life long careers support.
To provide aspirational events and programme to current students.

To ensure the University can fulfil its commitment to providing students and graduates with life long careers support.

Basis for retaining the data

To provide high quality customer service by creating a full record of contact to better support student enquiries.

To provide high quality customer service by creating a full record of contact to better support student enquiries.

To provide high quality customer service by creating a full record of contact to better support student enquiries.

For audit by US government.

To assess if a student is eligible for financial support from the University

To put into place additional support for students who are leaving care, in line with our access agreement

To produce student identification

To provide financial evidence that will enable the University to make a decisions around payments and debt management.

Basis for retaining the data

In line with professional guidance

To ensure students are supported under the Equalities Act

To provide a bookable support service for students

To improve our service and identify additional service provision.

To ensure high quality support provision is in place for all students.

To enable proactive support of students with identified needs.

To enable proactive support of students with identified needs.

To provide workshop provisions for studnets

To ensure high quality support provision is in place for all students.

To ensure high quality support provision is in place for all students.
To ensure students are supported under the Equalities Act
To ensure students are supported under the Equalities Act

Basis for retaining the data
Business Need
For legal proceedings and business need
Business Need
Business Need
Business Need

Sports and Wellbeing - Sports Hall & Sports Gro

Activities	Retention Period
Sport and Wellbeing Membership details	4 academic years
Students' Union Team lists	1 academic year
Incident forms	7 years
Details of those paying for boat storage	1 year
TASS programmes	1 year
Bursary applications	4 academic years
S&C Programmes	4 academic years
Course Attendance details	4 academic years
Medical forms (watersports and kids camps)	End of course
Medical forms (swim school)	1 enrolment year
First aid forms	7 years
yacht charter details	tbc
external bookings across sites	1 year post booking, then an
club email correspondance	4 academic years
Active Nation	tbc
Watersports instructor details	4 academic years
Sports camps information	tbc
Email correspondance	4 academic years

Early Years Centre

Activities	Retention Period- Years
Child and family contact details	7
Incident/ Accident/ Accident at home forms	7
Medicine forms	7
Safeguarding referrals/ concerns	21
signing in forms/ registers	7
consent forms	7
finance documents	7
SEND and Development files	1
Medical forms	7
Parent Declaration for city council	1
Headcount forms for city council	6

Residential Services

Residential Services provide accomodation to staff and students. If there are any queries about records relating to the accomodation services offered please contact Rachel Bell.

Activities
Room Service
Student Record
Student Record
Student Record
Applications
Applications
Unaccepted offers
Unaccepted offers
Contracts
Contracts
Isurvey for Residence requests
Early leavers
Early arrivals
Summer lets
Visitor applications
University Houses applications
Paper
Notice to Quit to students in halls (asked to leave)
Assured Shorthold Tenancies for University House
Notice to Quit for ASTs for University Houses
Receipt of parcels signing sheets (will include stud
Key logs
Discipline records (J drive)
If resulted in a fine
If didn't result in a fine (but what about record wh
Working documents held on J drive
Default
Reports kept for statistical and businness plannin
Enabling recommendations

Enabling recommendations
PEEPS
Incident reports - H&S
Ongoing complaints/legal processes etc

Retention Period
if enrol as student but haven't applied to halls 3 months after end of graduation
if don't enrol and haven't applied to halls student 3 months after end of academic year of study
if don't enrol and have applied to halls student 3 months after end of academic year of study
if enrol as student, graduation plus 6 years.
If do not enrol as student, 3 months after end of academic year of study
if enrol as student, graduation plus 6 years.
If do not enrol as student, 3 months after end of academic year of study
if enrol as student, graduation plus 6 years.
If do not enrol as student, 3 months after end of academic year of study
end of contract plus 6 years (as supports financial contractual issues)
3 months after end of academic year it relates to (so early arrivals Sept 17 would be deleted Dec 18)
3 months after end of following academic year (so summer 18 would be deleted Dec 19)
3 months after end of academic year it relates to (applications for 18/19 would be deleted Dec 19)
3 months after end of academic year it relates to (applications for 18/19 would be deleted Dec 19)
7 years from date of NTQ
7 years from date of NTQ
7 years from date of NTQ
3 months after academic year they relate to
3 months after academic year they relate to
date plus 6 years
3 years plus 3 months after end of academic year it relates to
3 months after end of following academic year (so documents for 17/18 would be deleted Dec 20)
Anonymised data to be held indefinitely
until 3 months post graduation for students who come into halls

if don't come into halls then 3 months after end of year applied for (unless deferred)
until 3 months post graduation for students who come into halls
7 years
If aware of case then associated paperwork to be kept for longer

Basis for retaining the data	
contract	
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legal
Limitation Act

Research & Enterprise

Research & Enterprise contains records relating to Development, Funding and Administration, Intellectual Property Rights Management, Knowledge, Transfer and Enterprise

If there are any queries about records relating to Research & Enterprise please contact Diana Galpin

Development

Activities	Retention Period	Basis for retaining the data
General Research Project Files	Research Data should be held for a minimum period of 10 years from collection, creation or generation or publication of the research results (whichever is the later). Retain for longer than 10 years where required to meet statutory or contractual obligations or guidelines of funding body, where there is a patent application or where results become contentious or subject to challenge at any time during the initial 10 year retention period, in which case retain pending review and do not destroy/dispose of until fully resolved. Retain longer than 10 years where the research has a public interest or heritage value.	Business need
Financial Information for Research Agreements	Agreement states retention, otherwise 6 years after final payment	University Financial Regulations
EU Funded Projects ERGO II Studies	20 years from the end of the project	University Financial Regulations

Activities	Retention Period	Basis for retaining the data
Category A*/A	30 years	UoS Research Data Management Policy , UoS Guidance on Research Data Management: Retention , UoS/RIG ERGO II: Category Guidelines
Category B/C/D	10 years	UoS Research Data Management Policy , UoS Guidance on Research Data Management: Retention , UoS/RIG ERGO II: Category Guidelines
Category C/D where the research is submitted by an Undergraduate or Post Graduate Taught student.	3 years	UoS Research Data Management Policy , UoS Guidance on Research Data Management: Retention , UoS/RIG ERGO II: Category Guidelines
Any study involving minors (under 18 years)	21 years	UoS Research Data Management Policy , UoS Guidance on Research Data Management: Retention , UoS/RIG ERGO II: Category Guidelines
Studies never submitted	3 years from date of last activity	UoS Research Data Management Policy , UoS Guidance on Research Data Management: Retention , UoS/RIG ERGO II: Category Guidelines
Category R	3 years	UoS Research Data Management Policy , UoS Guidance on Research Data Management: Retention , UoS/RIG ERGO II: Category Guidelines

Auditory Implant Service

The AIS provides services to profoundly deaf children and adults. If you have any queries about AIS records please contact Professor Carl Verschuur

Activities

Audio tapes - dictation

On Programme

Patients full record

Children's records

Off Programme - Transferred Out

Patient Contacts

Hard copy and digitally stored records

Children's records

Off Programme - Discharged

Patient Contacts

Hard copy and digitally stored records

Children's records

Off Programme Deceased

Patient Contacts

Hard copies of patient records

	Please see: https://digital.nhs.uk/article/1202/Records-Management-Code-of-Practice-for-Health-and-Social-Care-2016
Retention Period- Years	Basis for retaining the data
wiped clean as soon as letter signed	Best practice guidelines
As long as patient remains on the AIS programme.	Best practice guidelines
Kept until the patient is 25 (or 26 if 17 when treatment ends) or 8 years after patient has passed away (if sooner)	Best practice guidelines
6 months post transfer	Best practice guidelines
20 years post date of transfer thereafter record is anonymised and retained for research purposes	Best practice guidelines
Kept until the patient is 25 (or 26 if 17 when treatment ends) or 8 years after patient has passed away (if sooner)	Best practice guidelines
6 months post transfer	
20 years post date of transfer thereafter record is anonymised and retained for research purposes	Best practice guidelines
Kept until the patient is 25 (or 26 if 17 when treatment ends) or 8 years after patient has passed away (if sooner)	Best practice guidelines
6 months post transfer	Best practice guidelines
8 years post patient date of death thereafter record is anonymised and retained for research purposes	Best practice guidelines

Engagement & Advancement

Engagement & Advancement contains records relating to Alumni & , Communications, Marketing and Public Relations

If there are any queries about records relating to Engagement & Advancement please contact Sarah Howes/Ayala Gordon

Communications

Activities	Retention Period	Basis for retaining the data
Lost Property - Physical Assets	Limited Time	Business need
Lost Property - Records	Permanent Retention	Business need
Model Release Forms for Photography and Filming	Permanent Retention	Business need
Photographs	Permanent Retention	Business need
Casual Photographs	Retained only for the purposes collected and then destroyed immediately.	Business need
Video Recording Release Agreements	Permanent Retention	Business need
Marketing Videos	Permanent Retention	Business need
Student Ambassador Database	Permanent Retention	Business need
Community Complaints Register	Permanent Retention	Business need
New Boundaries Distribution List	Permanent Retention	Business need
Crisis Communications Contact List	Retained whilst contact is maintained	Business need
Web Analytics Data		Business need
Online Advertising Data		Business need
Facebook Personalised Advertising		Business need
Reporting Data (Klipfolio)		Business need
Student Competition Data	Permanent Retention	Business need
Social Media Listening Data		Business need
Social Media Photos/Videos		Business need
WhatsApp Contact List	Permanent Retention	Business need
Prospectus Mailing List	Permanent Retention	Business need
Sensitive Information (not be released to the media)		Business need
Patient Case Studies (Cancer Immunology Campaign)		Business need
Donor Recognition Wall (CIC)		Business need

Alumni

Activities	Retention Period	Basis for retaining the data
Constituent: Alumni Donor	Life +21 years unless individual requests their details are removed	Business need
Constituent: Alumni non-donor	Life +21 years unless individual requests their details are removed	Business need
Constituent: Non alumni	Life +21 years unless individual requests their details are removed	Business need

Constituent: Non-alumni donor	Life +21 years unless individual requests their details are removed	Business need
Constituent: Organisation	Permanent retention unless company requests their details are removed.	Business need
Gift: Unfulfilled Regular Gift/Pledge	Life +21 years unless individual requests their details are removed	Business need
Gift: Fulfilled Regular Gift/Pledge/Cash	Life +21 years unless individual requests their details are removed	Business need
Event: Invitation	Life +21 years unless individual requests their details are removed	Business need
Event: Response	Life +21 years unless individual requests their details are removed	Business need
Event: Attendance	Life +21 years unless individual requests their details are removed	Business need
Action: Action Correspondence	Life +21 years unless individual requests their details are removed	Business need
Appeal: Fundraising Appeals	Current financial year + 6 years	Business need
Membership	Life +21 years unless individual requests their details are removed	Business need
Attribute (including historic preferences)	Life +21 years unless individual requests their details are removed	Business need
Proposal	Life +21 years unless individual requests their details are removed	Business need
Financial Rating	Until superseded with updated information	Business need
Click Through data	Life +21 years unless individual requests their details are removed	Business need
Actions	Life +21 years unless individual requests their details are removed	Business need
Administration		
Activities	Retention Period	Basis for retaining the data
Gift form (and gift aid declaration)	6 years plus current financial year after final payment is taken	Business need
Financial Information	7 years	Business need
Papers not covered elsewhere e,g covering letters/reminders/letters making appointments/anonymous letters/routine reports/office diaries	1 year	Business need
Paper copies of gift forms	destroyed once input into Raiser's Edge	Business need

Health & Safety

Health & Safety contains records relating to Audit, Health & Safety Management, Consultation, Information, Instruction and Training, Hazard Identification and Risk Assessment, Hazardous Substance Exposure Control, Inspection, Incident Recording, Reporting and Investigation, Emergency Planning and Employee Health

If there are any queries about records relating to Health and Safety please contact

Audit

Activities
Records of the conduct and results of health & safety audits, and action taken to address the issues raised

Health & Safety Management

Activities
University Health & Safety policies and guidance
Minutes and associated papers of Faculty School and Departmental Safety committees

Consultation

Activities
Notifications of appointments of safety representatives by trade unions under the Safety Representatives & Safety Committees Regulations 1977
Records of the provision of time off & other facilities & assistance, for Safety representatives under the Safety Representatives & Safety Committees
Records of the formation of a safety committee under the Safety Representatives & Safety Committees Regulations 1977, including records of the objectives, role, functions, composition & administration of the committee

Information, Instruction and Training

Activities
Records of the provision of information, instruction & training for employees, students & others on health & safety in University premises (*Exclusions detailed
Records of the content of information and instruction on health & safety matters provided for members of the public & others with legitimate access to premises &
Records of the provision of role-specific training for fire wardens
Records of the provision of approved training for first aiders (specifically related to their functions as first aiders)
*Records of the provision, instruction and training relating to asbestos
*Records of the provision, instruction and training relating to physical agents

Hazard Identification and Risk Assessment

Activities

Records of the identification of health & safety hazards to employees & others on the premises. The conduct & results of risk assessments in relation to plant, equipment, machinery and processes (* Exclusions detailed below)
Records of health and safety arrangements for the planning, organisation, control, monitoring and review of preventative and protective measures
* Records of monitoring exposure to physical agents with the potential for long term health effects (including methodology)
* Records of monitoring exposure to asbestos related sources with the potential for long term health effects (including methodology)

Hazardous Substance Exposure Control

Activities
Records relating to the monitoring of exposure to hazards substances
Records of users and usage of high classification biological agents. List of employees exposed to Group 3 or Group 4 biological agents (defined in the Health Surveillance or medical certification records for individuals
Records relating to asbestos: Medical records, training records, suspected incidents of potential exposure
Records relating to monitoring of exposure to ionising radiation
Records of testing, repair, examination or maintenance of equipment provided to control identified hazards/risks (including methodology where appropriate)

Inspection

Activities
Records of the conduct and results of health and safety inspections of University land, buildings, facilities or operations and action taken to address issues raised

Incident Recording, Reporting and Investigation

Activities
Records of accidents and near misses (including investigations) on University premises or affecting University staff or students (* Exclusions detailed below)
Records of accidents, dangerous occurrences & notifiable diseases reportable to
* Records of accidents and near misses of incidents to those under the age of 21
* Records of accidents and near misses (including investigations) relating to potential exposure to asbestos

Emergency Planning

Activities
Nominations/appointments of fire wardens
Records of the assessment of requirements for fire fighting systems and equipment
Records of appointed first aiders
Records of the assessment of requirements for first aid facilities & equipment
Specification for first aid facilities and equipment

Records of arrangements with external emergency service organisations

Employee Health Surveillance

Activities

All records relating to occupational health screening

Administration

Activities

Team Meetings

Papers not covered elsewhere e,g covering letters/reminders/letters making appointments/anonymous letters/routine reports/office diaries
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Records of appointment of persons to health and safety roles
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CPD for Health & Safety Staff

Retention Period	Basis for retaining the data
Completion of audit + 3 years	Legal Basis

Retention Period	Basis for retaining the data
Superseded + 50 years	Legal Basis
In line with University Governance	Legal Basis

Retention Period	Basis for retaining the data
In line with University Governance	Business need
Current year + 5 years	Legal Basis
In line with University Governance	Business need

Retention Period	Basis for retaining the data
Termination of employment or study + 5 years	Legal Basis
Superseded + 5 years	Legal Basis
End of appointment + 5 years	Legal Basis
End of appointment + 5 years	Legal Basis
Current year + 40 years	Legal Basis
Current year + 40 years	Legal Basis

Retention Period	Basis for retaining the data
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Current year + 5 years	Legal Basis
Current year + 5 years	Legal Basis
Current year + 40 years	Legal Basis
Current year + 40 years	Legal Basis

Retention Period	Basis for retaining the data
Creation + 40 years	Legal Basis
Last entry + 40 years	Legal Basis
50 years or age 75	Legal Basis
Creation + 40 years	Legal Basis
50 years or age 75	Legal Basis
Current year + 5 years	Legal Basis

Retention Period	Basis for retaining the data
Current year + 3 years	Legal Basis

Retention Period	Basis for retaining the data
Current year + 3 years	Legal Basis
Current year + 3 years	Legal Basis
Until individual reaches age of 21	Legal Basis
Current year + 40 years	Legal Basis

Retention Period	Basis for retaining the data
End of appointment + 5 years	Legal Basis
Review of assessment + 5 years	Legal Basis
End of appointment + 5 years	Legal Basis
Reassessment + 5 years	Legal Basis
Superseded + 5 years	Legal Basis

Review of arrangements + 5 years	Legal Basis
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Retention Period	Basis for retaining the data
Records creation + 40 years	Legal Basis

Retention Period	Basis for retaining the data
5 Years	Business need
1 Year	Business need
Termination of appointment to the role + 5 years	Legal Basis
5 Years	Legal Basis

Library & Archives

Library & Archives contains records relating to the use of the Library and the Archives.

If there are any queries about records relating to the Library please contact Richard Wake

Library

Activities
Inter library loan request forms
User records

Archives

Activities
Archives Acquisition
Accessions Register
Depositor/Donor Agreements
Archives Conservation
Archives Management
Archives Catalogue and Information Resources

Archive Access

Activities
Registration File
Database Registration
Enquiries
Promotion of Archives
Document Management
Reprographics Management

Retention Period	Basis for retaining the data
Up to 7 years	Legal Requirement
2 years after expiry unless outstanding debts	Business Need

Retention Period	Basis for retaining the data
Permanent Retention	Academic Activity
Permanent Retention	Academic Activity
Permanent Retention	Contractual
Permanent Retention	Academic Activity
Permanent Retention	Academic Activity
Permanent Retention	Academic Activity

Retention Period	Basis for retaining the data
10 years	Business Need
Permanent Retention	Business Need
10 years	Business Need
5 years	Business Need
Permanent Retention	Business Need
Permanent Retention	Business Need

How is the data destroyed?
Files Deleted
Files Deleted

How is the data destroyed?
N/A
N/A
N/A
N/A
N/A
N/A

How is the data destroyed?
Secure Disposal
N/A
Secure Disposal
Recycling
N/A
N/A