
Document Retention Schedule



Introduction

The ongoing development of the retention schedule is part of the commitment to good record keeping under the University of Wolverhampton's Records Management Policy. It provides consistent guidance on how long records of the organisation should be retained. In some situations the length of time the records are retained may vary due to the specific circumstances relating to the documents concerned, in particular the integrity of records which pre-date this guidance cannot be assured. In addition to the time periods specified, the University Secretary will continue to liaise with and advise colleagues in relation to their record keeping requirements.

Retention periods have been assigned after consideration of legal requirements, good practice guidance e.g. JISC HEI retention schedule, good practice within the sector and business needs of the University. The Schedule is designed to ensure that information is kept as long as necessary, whilst addressing compliance with the Data Protection Act 1998.

The retention periods within the schedule apply to information in all formats and should be applied consistently regardless of whether the information is held manually or electronically. When storing information in electronic format, only approved applications should be used to ensure long-term accessibility of information. For further advice on applications, or data types for scanned information, please contact IT Services. Any records containing personal data or confidential information should be disposed of in accordance with the University's guidance on disposing of confidential waste. When retention periods for records have expired documents should be reviewed in accordance with this guidance, with a view to disposal. If it is believed that there is justification to retain the data for longer, the University Secretary must be expressly involved in that decision.

For further advice or guidance on retention, please contact the University Secretary.

Abbreviations/acronyms used in the schedule

CAY – current academic year

CFY – current financial year

CTY – current tax year

PPCR – post publication of confirmed results

EOR – end of relationship

LAC – last action on case

JISC – Joint Information Systems Committee

TOA – termination of agreement

Format

E – electronic; SITS – Strategic Information Technology Services' Student Record System

Categories of Records

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1. Governance				
Code	Description of record	Retention/Format	Responsibility	Reasons/Notes
1.1	Incorporation documents (including Instrument and Articles of Government)	Permanently	University Secretary	Archival value; JISC ¹
1.2	Board of Governors minutes (including committees thereof)	Permanently	University Secretary	Archival value; JISC ¹ University of Wolverhampton, Articles of Government
1.3	Academic Board minutes (including committees thereof)	Permanently	University Secretary	Archival value; University of Wolverhampton, Articles of Government
1.4	University Companies minutes	Permanently	University Secretary	Companies Act 1985 s.382 ²
1.5	Executive minutes/papers	Permanently - E	Executive	Archival value
1.6	Senior Management Group minutes/papers	Permanently - E	Executive	Good practice ³
1.7	Reports and Accounts	One signed copy Permanently	University Secretary	Evidential purposes
1.8	Trust Deeds	Permanently – original + 1 copy	University Secretary	Archival value
1.9	Register of Governors, Directors and Secretaries	Permanently	University Secretary	Archival value
1.10	Register of Charges	Permanently	University Secretary	Evidential purposes

1.11	Seal Books	Permanently	University Secretary	Archival value
1.12	Registers of Member's Interests	Permanently	University Secretary	Evidential purposes
1.13	Share transfer documents	Permanently	University Secretary	Evidential purposes
1.14	Companies' annual returns	Permanently	University Secretary	Evidential purposes
1.15	University Bye-laws	Permanently	University Secretary	Archival value
1.16	University Committee Handbook	Superseded + 3 years	Pro-Vice Chancellor Academic	Business purposes
1.17	Freedom of speech documentation	Superseded + 6 years	University Secretary	Evidential purposes
1.18	Powers of attorney	Permanently	University Secretary	Evidential purposes
1.19	University's Mission Statement	Permanently	Vice Chancellor	Archival value
1.20	University's Strategic Plan(s)	Permanently	Pro Vice Chancellor Student Affairs	Corporate knowledge; Archival value
1.21	University Academic Calendar	CAY + 6 years	Academic Registrar	Business purposes
1.22	Financial Regulations	Permanently	University Secretary/Head of Finance	Archival value

1.23	Complaints documentation	CAY + 6 years	Dean of Students	Limitation Act
1.24	Deeds of Covenant	12 years after expiry	University Secretary	Limitation Act s. 8
1.25	Enrolment form master	Superseded + 6 years - E	Academic Registrar	Business purposes
1.26	Major agreements of historical significance	Permanently	University Secretary	Archival value
1.27	Internal audit services reports and documentation	CAY + 5 years	University Secretary	Business purposes

2. Financial Resources				
Code	Description of record	Retention/Format	Responsibility	Reasons/Notes
2.1	Contracts/Licensing Agreements (other than building see 4.2)	6 years after expiry	Dean/Director for relevant area	Limitation Act/Record for Tax purposes
2.2	Rental/hire purchase agreements	6 years after expiry	Dean/Director for relevant area	Limitation Act/Record for Tax purposes
2.3	Indemnities and guarantees	6 years after expiry	University Secretary	Limitation Act
2.4	Franchise and collaborative agreements	6 years after expiry	Dean/Director for relevant area	Limitation Act
2.5	Property deeds/land certificates	Until sold or transferred	University Secretary	Evidential purposes
2.6	Property leases/licenses	12 years after	University Secretary	Evidential purposes

		expiry		
2.7	Patent and trademark records	Permanently	University Secretary	Evidential purposes
2.8	Intellectual property rights' agreements	TOA + 6 years	University Secretary	JISC ¹
2.9	Published Accounts	CFY + 6 years	Head of Finance	Business purposes
2.10	Internal budgets and forecasts	CFY + 2 years	Head of Finance	Business purposes
2.11	Tax returns (income tax and VAT)	CTY + 6 years	Head of Finance	HMRC 700/21 para. 2.4 ⁴
2.12	Bank statements	CFY + 6 years	Head of Finance	HMRC 700/21 para. 2.4 ⁴
2.13	Instructions to Bank other than mandates	6 years after expiry of instruction	University Secretary/Head of Finance	Business purposes
2.14	Bank mandates	6 years after expiry	Head of Finance	Business purposes
2.15	Payroll	Indefinitely	Head of Finance	the National Archives guidance until age 100 ⁵
2.16	Expense account information	CTY + 6 years	Head of Finance	JISC ¹
2.17	Sales invoices	CFY + 6 years	Head of Finance	HMRC 700/21 para. 2.4 ⁴
2.18	Purchase invoice	CFY + 6 years	Head of Finance	HMRC 700/21 para. 2.4 ⁴
2.19	Insurance: public products and employees	12 years after	Head of Finance	Evidential purposes

	liabilities policies and certificates	expiry		
2.20	Purchase order requests (PORs)	CFY + 1 where required locally	Budget holder	Business purposes
2.21	Insurance: Other policies	6 years after expiry	Head of Finance	JISC ¹
2.22	Insurance: Claims correspondence	12 years after settlement unless claimant is under 18 at time of settlement then age 18 plus 12 years	Head of Finance	Current practice
2.23	Insurance: loss/accident reports	6 years unless claim commences then follow guidance in 2.22	Head of Finance	Limitation Act
2.24	Successful tenders including specification, advertisements	6 years after expiry of contract	Head of Finance	Limitation Act
2.25	Approval of waivers/variation of tendering requirements (within financial regulations)	3 years	University Secretary	Business purposes
2.26	Unsuccessful tenders	1 year	Procuring school or department	Business purposes
2.27	Quotations	1 year	Procuring school or department	Business purposes

2.28	Project Initiation Documents (Green Forms and attendant documentation)	6 years after completion of contract	Head of Finance	Financial Regulations
2.29	EU and other projects	Variable (not less than 12 years) – format usually manual	Relevant school or department	Funder's requirements as specified in contract EC 1260/99 Article 38 (6)
2.30	Pensions information (contributions)	Permanently	Head of Finance	Business purposes

3. Human Resources (subject to review on completion of new HR system project)

Code	Description of record	Retention/Format	Responsibility	Reasons/Notes
3.1	Electronic record of employees' employment at the University (electronic) including posts held	Permanently - E	Director of Personnel	Verification/The National Archives ⁵
3.2	Personnel record Incl: Application form Qualifications/References/Professional Accreditation Posts held and Job descriptions Disciplinary/grievance Signed contract Letter of resignation Excludes occupational health (see H&S)	EOR + 6 years	Director of Personnel	Limitation Act/ JISC ¹ Exception: where a disciplinary relates to child protection retain for the expected working life of the individual or a minimum of 10 years (whichever is the longer) NSPCC ⁶

3.3	<p>Sponsored Employees under points based system</p> <p>All records in s. 3.2 and : -</p> <p>Confirmation letter for sponsorship</p> <p>Governing Body endorsement (where appropriate)</p> <p>All documents submitted as part of application</p> <p>Copy of passport and biometric card</p> <p>Job advertisements (original format) and recruitment evidence e.g. invoices and contracts with head hunters</p> <p>All applications/expressions of interest from unsuccessful applicants in original format</p> <p>Names of shortlisted applicants and interview notes</p> <p>Reasons for non-employment of unsuccessful EEA (European Economic Area) nationals</p> <p>All contact details held during time of sponsorship</p> <p>Evidence of international status where appropriate e.g. press cuttings, recordings of media interviews</p>	EOR + 6 years	Director of Personnel	UK Border Agency Guidance ⁷
3.4	<p>Criminal Records Bureau Checks</p> <p>Record that check took place</p> <p>Information supplied by CRB</p>	<p>EOR + 6 years</p> <p>6 months from receipt</p>	Director of Personnel	<p>JISC¹</p> <p>CRB code of practice</p>
3.5	Absence record detailing causes and periods of absence	Indefinitely	Director of Personnel	<p>JISC¹ EOR + 40 years</p> <p>The National Archives⁵ until age 72</p>
3.6	Performance assessment /appraisal	CAY + 3 years	Line Manager	JISC ¹

3.7	Pension opt-in/out notices and confirmation	Permanently	Director of Personnel	Evidential purposes
Applications and Recruitment				
3.8	Unsuccessful job applications	Appointment date + 6 months	Director of Personnel	JISC ¹
3.9	Interview notes	Appointment date + 6 months	Director of Personnel	Equality legislation
3.10	Ethnic monitoring forms	CAY + 1	Director of Personnel	Monitoring purposes
Training and Development				
3.11	Training records (mandatory) including Health and Safety training	Permanently - E	Director of Personnel	Evidential purposes
3.12	Corporate Staff Development Programme	6 years	Director of Personnel	Business purposes

4. Physical Resources				
Code	Description of record	Retention/Format	Responsibility	Reasons/Notes
4.1	Estates Manual (master set)	Permanently	Director of Facilities	Archival value
4.2	Building contracts	15 years after expiry	Director of Facilities	Limitation with additional time allowed for latent damage ²
4.3	Architects/surveyors agreements	15 years after project completion	Director of Facilities	Limitation with additional time allowed for consistency with building contracts
4.4	Building plans/drawings	Until disposal of property	Director of Facilities	JISC ¹ , evidential purposes

4.5	Planning applications	Until disposal of property	Director of Facilities	JISC ¹ , evidential purposes
4.6	Transport: Log book of drivers	1 year after closure	Director of Facilities	Business purposes
4.7	Transport: Mileage records	1 year after disposal of vehicle	Director of Facilities	Business purposes
4.8	Transport: MOT certificates	2 years after disposal	Director of Facilities	Business purposes
4.9	Transport: Registration records	2 years after disposal	Director of Facilities	Copy only, original will be sent to DVLA
4.10	Residential accommodation regulations	6 years after expiry	Director of Facilities	Limitation Act
4.11	Letting of student accommodation	TOA + 6 years	Director of Facilities	Limitation Act
4.12	Catering menus	1 year - E	Director of Facilities	Sample only retained for business purposes
4.13	Display Energy Certificate Accompanying report	Whilst current CAY + 7 years	Director of Facilities	
4.14	Plant and equipment maintenance, testing and inspection certificates	Life of equipment + 6 years	Director of Facilities	
4.15	Waste management: records documenting the storage and collection of special waste	Removal of waste + 3 years	Director of Facilities	Special Waste Regulations 1996 SI 972
4.16	Confidential waste receipts	Removal of waste + 1 year	Relevant school or department	Evidential requirements

4.17	Building condition survey files	Permanently	Director of Facilities	Evidential requirements
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5. Student Administration and Support				
Code	Description of record	Retention/Format	Responsibility	Reasons/Notes
5.1	Student application form	CAY + 1 year	Academic Registrar	Except where required for longer by professional body
5.2	Successful applications	Permanently – E, SITS	Academic Registrar	Verification
5.3	Unsuccessful applications	CAY + 2 years – E, SITS	Academic Registrar	Identify Duplicate/Fraudulent Applications
5.4	Withdrawals and leave of absence data	Permanently- E, SITS	Academic Registrar	Business purposes
5.5	Record of enrolment and admission	Permanently – E, SITS	Academic Registrar	Verification
5.6	Record of academic advice	EOR + 6 years	Deans of Schools	Limitation Act
5.7	Module/diet registration	Permanently – SITS	Academic Registrar	Verification
5.8	Record of fee payment	Permanently – SITS	Academic Registrar	Student may query payments made when loan becomes due for renewal (up to 20 years)
5.9	Exam scripts	PPCR + 9 months	Deans of Schools	Internal and External appeals processes

5.10	Feedback on assessed work (including assessment of placements)	PPCR +9 months	Deans of Schools	Internal and External appeals processes
5.11	Assessed work (student assignments)	10% (or representative sample for small groups) retained for CAY + 1 year for QAA	Deans of Schools	QAA or longer in accordance with requirements of professional bodies
5.12	Assessment results (grades – module level)	Permanently - SITS	Academic Registrar	Verification
5.13	Marking verification (internal moderation)	PPCR +9 months	Deans of Schools	Appeals/evidence of moderation
5.14	External examiners' notes (where available)	PPCR +9 months	Deans of Schools	Appeals
5.15	Invigilators' reports	PPCR +9 months	Academic Registrar	Appeals
5.16	Subject Board and Award Board minutes Extenuating Circumstances Board minutes	10 years	Academic Registrar	Limitation Act + time allocated for completion of course
5.17	Qualification/degree class awarded	Permanently - SITS	Academic Registrar	Verification throughout student's working life
5.18	Examination question papers	Permanently (2 copies)	Deans of Schools Director of Learning and Information Services	Archival value

5.19	Record of requests for verification of awards, references etc.	CAY + 2 years	Academic Registrar	Business purposes
5.20	Module guides, Pathway guides and Course handbooks	Permanently	Academic Registrar	Confirmation of course content throughout student's working life
5.21	Rooming Timetable	CAY + 3 years, E	Academic Registrar	Verification of location of students in response to claims
5.22	Graduation programmes	Permanently	Academic Registrar	Archival value
5.23	Record of distribution of certificates	Permanently	Academic Registrar	Legal document – needs to be tracked
5.24	Student academic misconduct files	LAC + 6 years	Dean of Students	JISC ¹
5.25	Student financial support records	Variable (currently until 2020)	Dean of Students	Funding body requirements
5.26	CRB checks (see 3.4)		Academic Registrar	
5.27	International Students: Copy of non-EU passports History of contact details Absences and designated contacts	EOR + 2 years	Director, International	Border Agency ⁷ requirement
5.28	Certificate of sponsorship	Permanently - E	Director, International	Border Agency ⁷ requirement

6. Information Services				
Code	Description of record	Retention/Format	Responsibility	Reasons/Notes
6.1	IT conditions of use	Superseded + 6 years	Director of IT Services	Limitation Act
6.2	Code on using University IT equipment	Superseded + 6 years	Director of IT Services/University Secretary	Limitation Act
6.3	IT Services Customer Charter	Superseded + 6 years	Director of IT Services	Limitation Act
6.4	Records of students' IT systems username	EOR	Director of IT Services	Business purposes
6.5	IT service desk calls	CAY + 2 years minimum	Director of IT Services	Business purposes
6.6	Software licenses	End of license + 6 years	Director of IT Services	Limitation Act
6.7	WOLF chat logs	2 months	Director of IT Services	Business purposes
6.8	Voicemail recordings (where retained)	1 month	Director of IT Services	Business purposes
6.9	British Library Request slips including copyright declaration	6 years	Director of Learning and Information Services	British Library requirement/ JISC ¹

6.10	Theses applications	6 years	Director of Learning and Information Services	Evidential purposes (plagiarism)
6.11	Learning Resources' Electronic Enquiries	2 years - electronic	Director of Learning and Information Services	Business purposes
6.12	Learning Resources' Conditions of Use	Superseded + 6 years	Director of Learning and Information Services	Evidential purposes
6.13	Learning Resources' User Guides	Superseded + 2 years	Director of Learning and Information Services	Business purposes
6.14	Learning Centres' Borrower Record including fines owing	EOR + 6 months or until record clear	Director of Learning and Information Services	Kept beyond EOR where items are outstanding
6.15	Learning Centres' Payment Record	6 years	Director of Learning and Information Services	Business purposes

7. Teaching and Learning				
Code	Description of record	Retention/Format	Responsibility	Reasons/Notes
7.1	Academic plans	Permanently	Pro-Vice Chancellor Student Affairs	Archival value
7.2	Programme specifications and course descriptions	Duration of validation period (6 years)	Academic Registrar	Archival value course planning/verification Evidential purposes
7.3	Academic approval records	Permanently	Pro-Vice Chancellor Academic	Archival value Evidential purposes
7.4	Documents relating to the development and design of taught programmes	Life of programme	Quality and Academic Standards Division	Minutes and reports of the Planning and Academic Standards sub-committee
7.5	Teaching and learning materials	Duration of use + 1 year	Deans of Schools	JISC ¹
7.6	Accreditation and monitoring reports by professional, statutory and regulatory bodies	Permanently	Pro-Vice Chancellor Academic	Business purposes
7.7	Annual monitoring reports and documents including examiners comments and student data	CAY+ 2 years (manual) 5 years - E	Deans of Schools	Quality Assurance
7.8	Undergraduate Regulations	Permanently	Academic Registrar	Evidential purposes
7.9	Postgraduate Regulations for taught	Permanently	Academic Registrar	Evidential purposes

	programmes			
7.10	External examiners' records (including contracts) & reports	10 years	Academic Registrar	Evidential purposes

8. Research and Development				
Code	Description of record	Retention/Format	Responsibility	Reasons/Notes
8.1	University Research Committee minutes URC Sub-committee minutes Student Management Board minutes	10 years 10 years 10 years	Dean of Research and Graduate Studies	As subject and award board minutes
8.2	Research policy and strategy documents Research ethics policy documents University Ethics Sub-Committee minutes	6 years after superseded 6 years after superseded 10 years	Dean of Research and Graduate Studies	Evidential/business purposes
8.3	Intellectual Property policy documents	6 years after superseded	University Secretary	Limitation Act
8.4	Research Degree regulations	Permanently	Dean of Research and Graduate Studies	Evidential purposes
8.5	Research Assessment Exercise submissions	Permanently	Dean of Research and Graduate Studies	Archival value

8.6	Documentation relating to submitted bids e.g. Research Council Applications	6 years post year of completion of research (variable, EU projects see 2.29)	Dean of Research and Graduate Studies	Audit purposes, and in accordance with funding requirements/contracts
8.7	Primary research	10 years post publication of findings	Dean of Research and Graduate Studies	The retention can be extended in accordance with funder's requirements see also 2.29

9. External Relations				
Code	Description of record	Retention/Format	Responsibility	Reasons/Notes
9.1	Correspondence from Associated External Agencies (e.g.HEFCE and TTA)	6 years	Executive	See also s.2.1 where part of conditions or agreements
9.2	Formal submissions to and from external agencies	Permanently	Executive	Evidential purposes
9.3	Course Enquiries	CAY + 1 year	Director of Marketing and Communications	Trend analysis
9.4	Prospectus	Permanently	Director of Marketing and Communications	Archival value
9.5	Student financial support policies/procedures	Superseded + 6 years	Dean of Students	Evidential purposes
9.6	Marketing plans	Permanently	Director of Marketing	Corporate knowledge

			and Communications	
9.7	Designs relating to corporate identity	Permanently	Director of Marketing and Communications	Archival value
9.8	Designs for marketing campaigns	Permanently	Director of Marketing and Communications	Archival value
9.9	Education guidance records	CAY + 3 years	Director of Marketing and Communications	
9.10	Press releases	Permanently - E	Director of Marketing and Communications	Archival value
9.11	Conference/Events notices	6 months post event	Director of Marketing and Communications	Business purposes
9.12	Referrals to external agencies: including public interest disclosures	LAC + 6 years	Department making referral	Evidential purposes; NSPCC ⁶
9.13	Media correspondence	CAY + 2 years	Director of Marketing and Communications	Archival value
9.14	Annual Review	Permanently	Director of Marketing and Communications	Archival value
9.15	Web page snapshots (excludes documents posted on the web, which need to be retained in accordance with their content)	3 years	Director of Marketing and Communications	Business purposes

10. Health and Safety				
Code	Description of record	Retention/Format	Responsibility	Reasons/Notes
10.1	Accident forms	CAY + 3 years	Director of Facilities	The National Archives ⁵ RIDDOR
10.2	Accident reports	CAY + 3 years	Director of Facilities	The National Archive ⁵ RIDDOR
10.3	RIDDOR reports	CAY + 3 years	Director of Facilities	Evidential purposes
10.4	COSHH: reports on exposure of identifiable employee General monitoring reports	40 years 5 years	Director of Facilities	The National Archives ⁵
10.5	Occupational Health Client Records	EOR + 40 years	Director Personnel	Monitoring purposes
10.6	Occupational Health Pre-employment Screening	EOR + 40 years If post not taken-up 1 year	Director Personnel	The National Archives ⁵
10.7	Occupational Health: Health Surveillance Records in accordance with COSHH, Ionising Radiation Regulations and Control of Asbestos at Work Regulations ⁸	EOR + 50 years	Director Personnel	Ionising Radiation Regulations
10.8	Risk assessments	CAY + 3 years	Relevant school or department	The National Archives ⁵
10.9	Risk reports	Review of assessment + 3	PVC and Director of Corporate Services	The National Archives ⁵

		years		
10.10	Minutes and papers of risk committee	CAY + 5 years	PVC and Director of Corporate Services	Evidential purposes
10.11	Asbestos register	Permanently	Director of Facilities	Evidential purposes
10.12	Health and Safety Regulations governing University operations	Permanently	Director of Estates and Facilities	Evidential purposes
10.13	Minutes of University Safety Policy Committee	Permanently	University Secretary	Evidential purposes

Version	5.1	Author	Information and Records Manager
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¹ JISC HEI Business Classification Scheme and Retention Schedules: <http://www.jiscinfonet.ac.uk/partnerships/records-retention-he/>, accessed 05/04/2007.

² Hamer, Andrew C. The ICA Guide to Document Retention. 204. pp132

³ Farrington, D. J. *The Law of Higher Education*. London, 1994. pp216 s.5.38.

⁴ HMRC: Notice 700/21 Dec 2007

http://customs.hmrc.gov.uk/channelsPortalWebApp/channelsPortalWebApp.portal?_nfpb=true&_pageLabel=pageLibrary_PublicNoticesAndInfoSheets&propertyType=document&columns=1&id=HMCE_CL_000099 accessed May 09

⁵ The National Archives Retention and Disposal Schedules: <http://www.nationalarchives.gov.uk/recordsmanagement/advice/schedules.htm> accessed May 09

⁶ NSPCC. Child Protection Factsheet: Guidance on Records Retention And Storage (England and Wales)

http://www.nspcc.org.uk/Inform/resourcesforprofessionals/InformationBriefings/recordsretentionPDF_wdf52858.pdf accessed May 09

⁷ <http://www.ukba.homeoffice.gov.uk/sitecontent/documents/employersandsponsors/pbsguidance/sponsorapplicationsguidance.pdf?view=Binary> accessed May 09