

# **OXFORD BROOKES UNIVERSITY**

## ***RECORDS RETENTION SCHEDULE***

Notes on use of the Retention Schedule .....	6
Retention Schedule .....	7
<b>1. Governance .....</b>	<b>7</b>
1.1 Legal Framework Development .....	7
1.2 Governance Structure Development .....	7
1.3 Senior Management Team / Board of Governors .....	7
1.4 Executive Committees .....	7
1.5 Appointment of senior officers .....	7
1.6 Organisational Restructuring .....	8
<b>2. Strategic Planning .....</b>	<b>9</b>
2.1 Strategic Planning and Performance .....	9
2.2 Policy Development .....	9
2.3 Procedure Development .....	9
<b>3. Risk Management .....</b>	<b>10</b>
3.1 Risk Identification and Assessment .....	10
3.2 Business Continuity Planning .....	10
<b>4. Quality Management .....</b>	<b>11</b>
4.1 Quality Audit .....	11
4.2 Quality Management Scheme Accreditation .....	11
4.3 Complaints Procedures .....	11
<b>5. Audit .....</b>	<b>12</b>
5.1 Audit .....	12
<b>6. Human Resources .....</b>	<b>13</b>
6.1 HR Strategy .....	13
6.2 Workforce Planning .....	13
6.3 Workforce Recruitment .....	13
6.4 Workforce Induction .....	14
6.5 Workforce Training and Development .....	14
6.6 Workforce Performance Management .....	14
6.7 Workforce Remuneration and Reward .....	14
6.8 Workforce Welfare .....	14
6.9 Workforce Relations .....	14
6.10 Employee Contract Management .....	15
6.11 Industrial Relations .....	17
6.12 Pension Schemes Administration .....	17
<b>7. Legal .....</b>	<b>18</b>
7.1 Policies .....	18
7.2 Contracts and Agreements .....	18
7.3 Legal Claims .....	18
7.4 Litigation .....	18
7.5 Legal Interpretation and Provision of Advice .....	18
<b>8. Intellectual Property .....</b>	<b>20</b>
8.1 Strategy .....	20
8.2 Patent Management .....	20
8.3 Copyright Administration .....	20
<b>9. Finance .....</b>	<b>21</b>
9.1 Financial Strategy .....	21
9.2 Financial Management Policy .....	21
9.3 Financial Management Procedures .....	21
9.4 Financial Audit .....	21
9.5 Financial Accounting .....	21
9.6 Management Accounting .....	21
9.7 Statutory Accounting .....	21
9.8 Internal Accounting .....	22
9.9 Funding Administration .....	22
9.10 Budget Management .....	22
9.11 Payroll Administration .....	22
9.12 Pension Contributions Administration .....	22
9.13 Tax .....	22

9.14	Cash, Investments and Assets .....	23
9.15	Alumni Support .....	23
<b>10.</b>	<b>Procurement .....</b>	<b>24</b>
10.1	Supplier Approval (applies only to formal applications received as part of a contract notice process and not ad hoc mail shots).....	24
10.2	Supply Contract Tendering .....	24
10.3	Supply Contract Management .....	25
10.4	Procurement Authorisation .....	25
<b>11.</b>	<b>Insurance.....</b>	<b>26</b>
11.1	Insurance Policies .....	26
<b>12.</b>	<b>Health and Safety .....</b>	<b>27</b>
12.1	Health and Safety Strategy.....	27
12.2	Health and Safety Audit.....	27
12.3	Health and Safety: Consultation .....	27
12.4	Health and Safety: Information and Training Provision .....	28
12.5	Health and Safety: Hazard Identification and Risk Assessment.....	28
12.6	Hazardous Substance Exposure Control .....	28
12.7	Health and Safety Inspection.....	30
12.8	Health and Safety Incident Recording, Reporting and Investigation .....	30
12.9	Employee Health Surveillance.....	30
12.10	Emergency Planning .....	31
<b>13.</b>	<b>Environmental Management.....</b>	<b>32</b>
13.1	Strategy .....	33
13.2	Environmental Audit .....	33
13.3	Environmental Hazard Identification and Risk Assessment .....	33
13.4	Environmental Management Scheme Accreditation.....	33
13.5	Environmental Awareness Promotion .....	33
13.6	Environmental Incident Recording, Reporting and Investigation.....	33
13.7	Energy Management .....	34
13.8	Waste Management .....	34
<b>14.</b>	<b>Estate Management.....</b>	<b>35</b>
14.1	Strategy .....	35
14.2	Property Acquisition.....	35
14.3	Property Development.....	35
14.4	Property Maintenance .....	35
14.5	Property Disposal .....	35
14.6	Property Compliance .....	36
14.7	Property Security .....	36
14.8	Property Leasing-Out .....	36
14.9	Facility Development .....	36
14.10	Facility Maintenance.....	36
14.11	Facility Security .....	36
14.12	Facility Compliance .....	37
14.13	Facility Relocation .....	37
<b>15.</b>	<b>Equipment and Consumables.....</b>	<b>38</b>
15.1	Strategy .....	38
15.2	Selection.....	38
15.3	Storage .....	38
15.4	Installation / Commissioning.....	38
15.5	Inspection and Testing .....	39
15.6	Maintenance .....	39
15.7	Disposal.....	39
<b>16.</b>	<b>Internal Services.....</b>	<b>40</b>
16.1	Strategy .....	40
16.2	Internal Service Proposal Development .....	40
16.3	Internal Service Planning.....	41
16.4	Internal Service Performance Management.....	41
16.5	Internal Service Policy Development.....	41
16.6	Internal Services Procedures Development .....	41
16.7	Internal Services Quality Management.....	41

16.8	Internal Service Promotion .....	41
16.9	Internal Service Delivery .....	41
16.10	Internal Service Customer Relations .....	41
<b>17.</b>	<b>Information Management.....</b>	<b>42</b>
17.1	Strategy .....	42
17.2	Records Management .....	42
17.3	Data Protection Act (DPA) Compliance.....	42
17.4	Freedom of Information Act (FOIA) Compliance .....	43
17.5	Copyright Compliance .....	43
17.6	Archives Management.....	43
17.7	Collections Management .....	44
17.8	Publications Management .....	45
<b>18.</b>	<b>Information and Communications Technology Systems .....</b>	<b>46</b>
18.1	IT Systems Development .....	46
18.2	IT Systems Operation.....	46
18.3	IT Systems Security.....	47
18.4	IT Systems User Support .....	47
<b>19.</b>	<b>Teaching.....</b>	<b>48</b>
19.1	Course Information .....	48
19.2	Teaching Policies and Procedures .....	48
19.3	Teaching Quality and Standards .....	48
19.4	Taught Programme Development .....	48
19.5	Taught Programme Review .....	48
19.6	Taught Programme Approval and Accreditation.....	49
19.7	Taught Module Development .....	49
19.8	Taught Module Preparation and Delivery .....	49
19.9	Taught Module Review .....	49
19.10	Taught Module Assessment .....	49
19.11	Taught Student Academic Support (Tutorial Support).....	50
<b>20.</b>	<b>Research .....</b>	<b>51</b>
20.1	Research Quality and Standards.....	51
20.2	Research Business Development .....	51
20.3	Research Project Development.....	51
20.4	Research Project Conduct.....	51
20.5	Research Project Management.....	51
20.6	Research Dissemination.....	52
20.7	Research Exploitation.....	52
20.8	Research Programme Development .....	52
20.9	Research Programme Review.....	52
20.10	Research Student Assessments .....	52
20.11	Research Student Academic Supervision and Support.....	52
<b>21.</b>	<b>Student Administration.....</b>	<b>54</b>
21.1	Course Information .....	54
21.2	Student Recruitment.....	54
21.3	Student Admission.....	54
21.4	Student Registration .....	55
21.5	Student Induction.....	55
21.6	Student Records Administration .....	55
21.7	Student Progress Administration .....	56
21.8	Student Disciplinary Case Handling .....	56
21.9	Student Academic Appeal handling.....	56
21.10	Student Complaint Handling .....	56
21.11	Course Administration .....	56
21.12	Assessment Administration .....	57
21.13	Award Ceremony Administration .....	57
21.14	Student Liaison Management.....	57
<b>22.</b>	<b>Student Support .....</b>	<b>59</b>
22.1	Student Support Service Strategy .....	59
22.2	Student Support Service Proposal .....	59
22.3	Student Support Service Planning.....	59

22.4	Student Support Service Performance Management .....	59
22.5	Student Support Service Policy Development .....	60
22.6	Student Support Service Procedures Development .....	60
22.7	Student Support Service Quality Management .....	60
22.8	Student Support Service Promotion .....	60
22.9	Student Support Service Delivery .....	60
22.10	Student Support Service Customer Relations .....	61
<b>23.</b>	<b>Alumni .....</b>	<b>62</b>
23.1	Strategy .....	62
23.2	Alumni Data Administration .....	62
23.3	Alumni Communications .....	62
23.4	Alumni Relations Events .....	62
<b>24.</b>	<b>Fundraising .....</b>	<b>63</b>
24.1	Fundraising Strategy .....	63
24.2	Fundraising Campaigns .....	63
<b>25.</b>	<b>Government Relations .....</b>	<b>64</b>
25.1	Government Communications .....	64
25.2	HE Sector Legislation Development .....	64
<b>26.</b>	<b>Higher Education Regulator Relations .....</b>	<b>65</b>
26.1	Higher Education Regulator Communications .....	65
<b>27.</b>	<b>Higher Education Sector Relations .....</b>	<b>66</b>
27.1	Strategy .....	66
27.2	Higher Education Sector Communications .....	66
27.3	Higher Education Sector Relations Events .....	66
27.4	Higher Education Sector Organisations Membership Administration .....	66
<b>28.</b>	<b>Public Relations .....</b>	<b>67</b>
28.1	Policy .....	67
28.2	Public Communications .....	67
28.3	Public Relations Events .....	67
28.4	Corporate Identity and Brand .....	67
28.5	Sponsorship (includes sporting events) .....	67
28.6	Donations .....	67
28.7	Honorary Awards .....	68
<b>29.</b>	<b>Media Relations .....</b>	<b>69</b>
29.1	Media Communications .....	69
<b>30.</b>	<b>Community Relations .....</b>	<b>70</b>
30.1	Community Relations Strategy .....	70
30.2	Community Communications .....	70
30.3	Community Relations Events .....	70
<b>31.</b>	<b>Publishing .....</b>	<b>71</b>
31.1	Publication Management .....	71
<b>32.</b>	<b>Retail Trading .....</b>	<b>72</b>
32.1	Retail Outlet Promotion .....	72
32.2	Retail Outlet Operation .....	72
32.3	Retail Outlet Customer Relations .....	72
<b>33.</b>	<b>Commercial Services .....</b>	<b>73</b>
33.1	Commercial Service Quality Management .....	73
33.2	Commercial Service Promotion .....	73
33.3	Commercial Service Delivery .....	73
33.4	Commercial Service Customer Relations .....	73
<b>34.</b>	<b>Related Companies .....</b>	<b>74</b>
34.1	Related Company Proposal .....	74
34.2	Related Company Formation .....	74
34.3	Related Company Management .....	74
34.4	Related Company Review .....	74
34.5	Related Company Disposal .....	74
<b>35.</b>	<b>Students Union Relations .....</b>	<b>75</b>
35.1	Students Union: Constitution Review and Approval .....	75
35.2	Students Union: Funding .....	75
35.3	Students Union: Financial Monitoring .....	75

35.4 Students Union: Operations Monitoring.....	75
Citations .....	77
<b>General 77</b>	
<b>Acts of the UK Parliament.....</b>	<b>77</b>
<b>Statutory Instruments of the UK Parliament .....</b>	<b>77</b>
<b>Other Provisions.....</b>	<b>78</b>

## Notes on use of the Retention Schedule

This retention Schedule is laid out by function rather than using the current organisational structure. This is because functions endure but may move from department to department. Likewise the same function may be performed by different departments in different Directorates or Faculties. The layout shows the type of document or record, how long it should be kept for by the originating department, and what action should be taken at the end of that period. There are 3 possible actions:

Destroy means that the document should be securely destroyed by shredding or the use of a confidential waste service if it is in hard copy, or secure deletion if electronic. NB Please make sure that all copies are destroyed.

Review means that there may be an operational reason to keep the record for longer. If this is the case, it should be reviewed again annually until either it is no longer needed (when it should be destroyed), or a decision is made to keep it permanently for historical interest, in which case it should be passed to the University Archive.

Archive means this is a document of historical interest. It helps to record the development of the University. At the end of its retention period it should be passed to the University Archive. The person to contact to arrange this is Eleanor Possart - ext 4139 or [epossart@brookes.ac.uk](mailto:epossart@brookes.ac.uk).

Vanna Leathart  
 University Records Manager  
 ext: 4046  
 Email: [vleathart@brookes.ac.uk](mailto:vleathart@brookes.ac.uk)

# Retention Schedule

## 1. Governance

The development of the corporate governance structure and rules for Oxford Brookes University, and the conduct of business in accordance with those rules, plus those board records that are common across all business functions of the University.

	Type of Record	Retention Period	Action	Citation
<b>1.1</b>	<b>Legal Framework Development</b>			
1.1.1	Establishment and development of the legal framework	Life of Institution	Archive	1992 c.13
<b>1.2</b>	<b>Governance Structure Development</b>			
1.2.1	Establishment and development of the governance structure	Life of Institution	Archive	JISC
<b>1.3</b>	<b>Senior Management Team / Board of Governors</b>			
1.3.1	Appointments to Senior Management and Board of Governors	End of appointment + 6 years	Archive	1980 c.58
1.3.2	Register of Interests of members of the Governing Body, senior staff and others covered by conflict of interest policies.	End of appointment + 6 years	Destroy	JISC
1.3.3	Provision of training and development for members of Senior Management Team / Board of Governors	Current Financial Year + 3 Years	Destroy	
1.3.4	Organisation of Senior Management Team / Board of Governors meetings	Current Financial Year + 1 year	Destroy	
1.3.5	Conduct and proceedings of Senior Management Team / Board of Governors meetings	Current Year + 3 year	Archive	
<b>1.4</b>	<b>Executive Committees</b>			
1.4.1	Development of Executive Committees and establishment of terms of reference	Superseded + 12 years	Archive	JISC
1.4.2	Appointments to Executive Committees	End of appointment + 5 years	Archive	
1.4.3	Provision of training and development for members of Executive Committees	Current Financial Year + 3 Years	Destroy	
1.4.4	Organisation of Executive Committee meetings	Current Financial Year + 1 year	Destroy	
1.4.5	Conduct and proceedings of Executive Committees	Current Year + 3 year	Archive	
<b>1.5</b>	<b>Appointment of senior officers</b>			
1.5.1	Appointment and designation of senior officers	End of appointment + 6 years	Archive	JISC

<b>1.6 Organisational Restructuring</b>				
1.6.1	Records documenting the development of the institution's organisational development strategy.	Completion of process + 5 years	Archive	Internal Guidelines
1.6.2	Records documenting the development of plans for the implementation of the institution's organisational development strategy.	Completion of process + 5 years	Review	JISC
1.6.3	Records documenting the conduct and results of audits and reviews of the organisational development function, and responses to the results.	Current Year + 5 years	Review	
1.6.4	Records documenting the development of the institution's organisational development procedures.	Completion of process + 3 years	Review	
1.6.5	Records documenting the management of individual organisational restructuring processes.	Completion of process + 5 years	Review	



## 2. Strategic Planning

	Type of Record	Retention Period	Action	Citation
<b>2.1</b>	<b>Strategic Planning and Performance</b>			
2.1.1	Development and establishment of strategy	Superseded + 10 years	Archive	JISC
2.1.2	Formulation of plans for implementing strategy	Superseded + 10 years	Review	
2.1.3	Records containing reports on performance against its strategic plan	Current Year + 10 years	Review	
2.1.4	Records documenting the conduct and results of audits and reviews of the strategic planning and performance management function, and responses to the results.	Current Year + 5 years	Review	
<b>2.2</b>	<b>Policy Development</b>			
2.2.1	Development and establishment of policy	Superseded + 10 years	Archive	Internal Guidelines
<b>2.3</b>	<b>Procedure Development</b>			
2.3.1	Development and establishment of procedure	Superseded + 6 years	Review	JISC

### 3. Risk Management

The management of risks to the viability or success of Oxford Brookes University.

	Type of Record	Retention Period	Action	Citation
<b>3.1</b>	<b>Risk Identification and Assessment</b>			
3.1.1	Records documenting the development and establishment of the institution's risk management strategy.	Superseded + 5 years	Review	JISC
3.1.2	Records documenting the conduct and results of audits and reviews of the risk management function, and responses to the results	Current Year + 5 years	Review	
3.1.3	Records documenting identified risks to the institution and assessments of those risks.	Superseded + 1 year	Destroy	
<b>3.2</b>	<b>Business Continuity Planning</b>			
3.2.1	Formulation, testing and maintenance of disaster response and recovery plans	Superseded + 5 years	Destroy	JISC

## 4. Quality Management

The management of standards in Oxford Brookes University.

For the management of teaching quality, see section **19.3 Teaching – Teaching Quality and Standards**

For the management of research quality, see section **20.1 Research – Research Quality and Standards**

	Type of Record	Retention Period	Action	Citation
<b>4.1 Quality Audit</b>				
4.1.1	Records documenting the development and establishment of the institution's overall quality management policies.	Superseded + 5 years	Archive	JISC
4.1.2	Records documenting the development of the institution's quality management procedures.	Superseded + 3 years	Destroy	
4.1.3	Conduct and results of QAA audits, and action taken to address issues raised	Completion of audit + 3 years	Archive	
4.1.4	Conduct and results of other quality audits, and action taken to address issues raised	Completion of audit + 3 years	Archive	
<b>4.2 Quality Management Scheme Accreditation</b>				
4.2.1	Attainment and maintenance of accreditation under established independent quality management schemes	End of accreditation + 1 year	Archive	JISC
<b>4.3 Complaints Procedures</b>				
4.3.1	Complaints Systems and Procedures	5 years	Destroy	JISC
4.3.2	Public Complaints	Last action + 3 years	Destroy	

## 5. Audit

The conduct of internal and external audits of Oxford Brookes University's affairs and operations for internal control purposes and to ensure compliance with institutional, industry or legal requirements.

For the engagement of external auditors, see section **10 Procurement**.

For the conduct of financial audits, see section **9.4 Finance – Financial Audit**.

For the conduct of health and safety audits, see section **12.2 Health and Safety – Health and Safety Audit**.

For the conduct of environmental audits, see section **13.2 Environmental Management – Environmental Audit**.

	Type of Record	Retention Period	Action	Citation
<b>5.1</b>	<b>Audit</b>			
5.1.1	Records documenting the institution's audit strategy.	Superseded + 5 years	Review	JISC
5.1.2	Records documenting the development and establishment of the institution's audit policies.	Superseded + 5 years	Review	
5.1.3	Records documenting the development of the institution's audit procedures.	Superseded + 3 years	Destroy	
5.1.4	Conduct and results of audits, and action taken to address issues raised	Completion of audit + 5 years	Review	
5.1.5	Contract to engage Auditors	Life of Contract + 6 years	Review	Internal Guidelines

## 6. Human Resources

	Type of Record	Retention Period	Action	Citation
<b>6.1</b>	<b>HR Strategy</b>			
6.1.1	Development of the institution's personnel strategy.	Superseded + 10 Years	Review	JISC
6.1.2	Formulation of plans for the implementation of the institution's personnel strategy.	Superseded + 10 Years	Review	
6.1.3	Data on, and analyses of, performance against the plans for the implementation of the institution's personnel strategy.	Current Year + 1 Year	Destroy	
6.1.4	Performance against the plans for the implementation of the institution's personnel strategy.	Current Year + 10 Years	Review	
6.1.5	Conduct and results of audits and reviews of the personnel management function, and responses to the results.	Current Year + 10 Years	Review	
6.1.6	Development and establishment of the institution's personnel management policies.	Superseded + 10 Years	Review	
6.1.7	development of the institution's personnel management procedures.	Superseded + 10 Years	Review	
<b>6.2</b>	<b>Workforce Planning</b>			
6.2.1	Assessment and analysis of workforce requirements, and the identification and evaluation of options for meeting these requirements	Current Financial Year + 3 years	Review	<b>1980 c.58</b>
6.2.2	Management succession plans	Superseded + 5 years	Review	JISC
6.2.3	Development and evaluation of job specifications	Superseded + 5 years	Review	
<b>6.3</b>	<b>Workforce Recruitment</b>			
6.3.1	Internal authorisation for recruitment	Current Financial Year + 1 year	Destroy	JISC
6.3.2	Advertisement of vacancies	Appointment of successful candidate + 6 months	Destroy	<b>1975 c.65; 1976 c.74; 1995 c. 50</b>
6.3.3	Enquiries about vacancies and requests for application forms	Appointment of successful candidate	Destroy	JISC
6.3.4	Handling of applications for vacancies: unsuccessful applications	Appointment of successful candidate + 6 months	Destroy	<b>1975 c.65; 1976 c.74; 1995 c. 50</b>
6.3.5	Handling of applications for vacancies: successful applications	End of employment of successful candidate + 6 years	Destroy	

6.3.6	Summary statistical information about job applicants e.g. ethnicity / gender analyses	Current Financial Year + 5 Years	Review	JISC
6.3.7	Management analyses of effectiveness of recruitment methods (e.g. advertising media)	Current Financial Year + 1 year	Destroy	
<b>6.4 Workforce Induction</b>				
6.4.1	Development, overall delivery and assessment of induction programmes for new employees. For records of individual employees' induction programmes, see section <b>6.10 Human Resources – Employee Contract Management</b>	Life of Programme Year + 5 Years	Review	JISC
6.4.2	Administration of induction programmes	Completion or End of programme + 1 year	Destroy	
<b>6.5 Workforce Training and Development</b>				
6.5.1	Summary information on workforce training and development needs	Current Financial Year + 5 Years	Review	JISC
6.5.2	Development of training and development programmes to meet defined needs	Completion of programme + 5 years	Destroy	
6.5.3	Individual feedback on training and development programmes	Completion of analysis of feedback	Destroy	
6.5.4	Anonymous workforce feedback on training and development programmes	Current Financial Year + 5 Years	Destroy	JISC
6.5.5	Management analyses of the impact of training and development programmes	Current Financial Year + 5 Years	Destroy	
<b>6.6 Workforce Performance Management</b>				
6.6.1	Development of workforce performance assessment systems	Life of system + 5 years	Review	JISC
6.6.2	Summary anonymous results of employees' performance assessments	Current Financial Year + 3 Years	Review	
6.6.3	Management analyses of the impact of workforce performance assessment systems	Current Financial Year + 5 Years	Review	
<b>6.7 Workforce Remuneration and Reward</b>				
6.7.1	Development of the remuneration structure	Current Financial Year + 10 Years	Review	JISC
6.7.2	Pay reviews	Current Financial Year + 5 Years	Review	
6.7.3	Special reward schemes e.g. merit reviews	End of scheme + 5 years	Review	
<b>6.8 Workforce Welfare</b>				
6.8.1	Development of workforce welfare schemes and services e.g. counselling services	Current Financial Year + 5 Years	Review	JISC
6.8.2	Monitoring of hours worked by employees, as required by S.I. 1998/1833	Date of record + 2 years	Destroy	<b>SI 1998/1833</b>
<b>6.9 Workforce Relations</b>				
6.9.1	Design of workforce surveys and	Completion of	Review	JISC

	consultations	survey / consultation + 5 years		
6.9.2	Identifiable individual responses to workforce surveys and consultations	Completion of analysis of responses	Destroy	
6.9.3	Summary anonymous results of workforce surveys and consultations	Completion of survey + 5 years	Archive	
6.9.4	Grievances raised by staff (which do not relate directly to their own contracts of employment), the official response, action taken and the outcome	Last Action on case + 6 years	Destroy	<b>1980 c.58</b>
<b>6.10 Employee Contract Management</b>				
6.10.1	Initial application for employment	End of employment + 6 years	Destroy	JISC
6.10.2	Supporting documentation to an initial application (e.g. references)	Completion of appointment process	Destroy	
6.10.3	Subsequent applications for other internal jobs (applies to students)	Termination of relationship with the student + 6 years	Destroy	
6.10.4	Contract of employment	End of employment + 6 years	Destroy	
6.10.5	Changes to an employee's terms and conditions of employment	End of employment + 6 years	Destroy	
6.10.6	Job descriptions of positions held by an employee	End of employment + 6 years	Destroy	Internal Guidelines
6.10.7	Generic role profiles	While current	Archive	
6.10.8	Induction programmes attended by an employee	Completion of induction + 1 year	Destroy	
6.10.9	Employee's identified training and development needs, and the action taken to meet those needs	Completion of action + 5 years	Destroy	JISC
6.10.10	Job-specific statutory / regulatory training requirements for an employee, and the training provided to meet those requirements	Expiry of certification or Superseded + 6 years	Destroy	<b>1980 c.58</b>
6.10.11	Routine assessments of an employee's performance, and any consequent action taken (Personal Development Reviews)	Superseded + 3 years	Destroy	JISC
6.10.12	Disciplinary proceedings against an employee, where employment continues	Closure of case + 6 years	Review	
6.10.13	Disciplinary proceedings against an employee, where employment does not continue	Closure of case + 6 years	Review	

6.10.14	Grievances raised by an employee which relate directly to his / her own contract of employment, the official response, action taken and the outcome	Closure of case + 6 years	Review	Internal Guidelines
6.10.15	Employee's remuneration and rewards (e.g. bonuses, merit awards, long service awards)	Current Financial Year + 6 years	Destroy	<b>1980 c.58;</b> <b>1970 c. 41;</b> <b>SI 1999/584</b>
6.10.16	Administration of an employee's contractual holiday entitlement	Current Leave Year + 1 year	Destroy	JISC
6.10.17	Employee's absence due to sickness	End of employment + 40 years	Destroy	<b>1992 c. 4</b> <b>1994 c. 23;</b> <b>IR CA30</b>
6.10.18	Authorisation and administration of special leave e.g. compassionate leave, study leave	Current Leave Year + 1 year	Destroy	Internal Guidelines
6.10.19	Authorisation and administration of statutory leave entitlements e.g. parental leave	Completion of entitlement + 6 years	Destroy	<b>SI 1999/3312</b>
6.10.20	Entitlements to and calculations of Statutory Maternity Pay	Current Tax Year (in which leave ends) + 3 years	Destroy	<b>1992 c. 4;</b> <b>SI 1986/1960</b>
6.10.21	Personal details of third persons held in employee's personal files (e.g. next of kin, emergency contacts)	While current	Destroy	JISC
6.10.22	Pre-employment health screening of an employee: employees exposed to hazardous substances during employment	End of Employment + 40 years	Destroy	<b>SI 2002/2675;</b> <b>SI 2002/2676;</b> <b>SI 2002/2677</b>
6.10.23	Pre-employment health screening of an employee: other employees	End of Employment + 6 years	Destroy	<b>1980 c.58</b>
6.10.24	Issue of personal protective equipment / other specialist equipment to an employee	End of Employment + 6 years	Destroy	
6.10.25	Major injuries to an employee arising from accidents in the workplace	End of Litigation	Review	<b>SI 2002/2675;</b> <b>SI 2002/2676;</b> <b>SI 2002/2677</b>
6.10.26	Employee's termination of employment by voluntary resignation, redundancy, retirement (including on medical grounds) or dismissal	End of employment + 6 years	Review	<b>1980 c. 58</b>
6.10.27	References provided in confidence in support of an employee's application(s) for employment by another organisation	Provision of reference + 1 year	Destroy	JISC



<b>6.11 Industrial Relations</b>				
6.11.1	Oxford Brookes University's recognition / derecognition of trades unions	Derecognition + 6 years	Archive	1980 c.58
6.11.2	Agreements with trades unions	End of agreement + 10 years	Review	1980 c.58; CIPD
6.11.3	Routine communications with trades unions representatives, including minutes of meetings	Current Financial Year + 20 Years	Review	JISC
6.11.4	Consultations / negotiations with trades unions on specific issues	Last action + 20 years	Review	JISC
<b>6.12 Pension Schemes Administration</b>				
6.12.1	Relationships with pension schemes to which all or part of the workforce belongs	End of relationship + 5 years	Archive	JISC
6.12.2	Routine communications with pension schemes to which all or part of the workforce belongs	Current Financial Year + 5 Years	Destroy	
<b>6.13 Affiliates</b>				
6.13.1	Requests for affiliate status	End of affiliate status + 1 year	Destroy	Internal guidelines

## 7. Legal

The provision of legal services by employees of external legal advisors.

For the engagement of external legal advisors, see section **10 Procurement**.

	Type of Record	Retention Period	Action	Citation
<b>7.1</b>	<b>Policies</b>			
7.1.1	Records documenting the development and establishment of the institution's policies on legal affairs and the acquisition/provision of legal services.	Superseded + 5 years	Review	JISC
<b>7.2</b>	<b>Contracts and Agreements</b>			
7.2.1	Legal support for the negotiation, establishment and review of contracts and agreements with others: agreements and contracts under seal.	Expiry of contract + 12 years (or if no expiry date given, date of last performance obligation + 12 years)	Review	<b>1980 c.58</b>
7.2.2	Records documenting legal support for the negotiation, establishment and review of contracts and agreements between the institution and others: - other contracts and agreements.	Expiry of contract + 6 years (or if no expiry date given, date of last performance obligation + 6 years)	Review	<b>1980 c.58</b>
<b>7.3</b>	<b>Legal Claims</b>			
7.3.1	Provision of legal support and representation in dealing with claims by or against Oxford Brookes University which do not proceed to litigation or settlement by an agreement	Settlement or withdrawal of claim + 6 years	Destroy	<b>1980 c.58</b>
<b>7.4</b>	<b>Litigation</b>			
7.4.1	Litigation with third parties where legal precedents are set	Settlement of case + 6 years	Review	<b>1980 c.58</b>
7.4.2	Litigation with third parties where legal precedents are not set	Settlement of case + 6 years	Review	
<b>7.5</b>	<b>Legal Interpretation and Provision of Advice</b>			
7.5.1	Legal advice requested by and provided to Oxford Brookes University concerning: <ul style="list-style-type: none"> <li>- interpretation of legislation affecting its legal framework, governance, responsibilities or operations</li> <li>- proposals for new legislation affecting its legal framework, governance, responsibilities or operations</li> <li>- relationships with government bodies and HE regulators</li> <li>- industrial relations issues</li> <li>- health, safety and environmental issues</li> </ul>	Superseded + 6 years	Archive	JISC

7.5.2	Legal advice on other matters requested by and provided to Oxford Brookes University	Superseded + 6 years	Review	JISC
-------	--	----------------------	--------	------

## 8. Intellectual Property

The Management of Oxford Brookes University's intellectual property including patents, designs, trademarks and copyright.

	Type of Record	Retention Period	Action	Citation
<b>8.1 Strategy</b>				
8.1.1	Development and establishment of the institution's intellectual property management strategy.	Superseded + 5 years	Review	JISC
8.1.2	Development and establishment of the institution's intellectual property management policies.	Superseded + 5 years	Review	
8.1.3	Development and establishment of the institution's intellectual property management procedures.	Superseded + 3 Years	Review	
<b>8.2 Patent Management</b>				
8.2.1	Patent applications by Oxford Brookes University	Life of the patent	Archive	JISC
8.2.2	Original patent documents	Life of the patent	Archive	
8.2.3	Routine monitoring of third party activity in areas covered by Oxford Brookes University patents	Current Financial Year + 5 Years	Destroy	
8.2.4	Identified infringements of Oxford Brookes University patents, and action taken other than litigation	Last action on case + 6 years	Review	1980 c.58
8.2.5	Assignment of institutional patents to third parties	End of assignment or life of patent + 6 years	Review	
8.2.6	Licensing of Oxford Brookes University patents to third parties	End of license or life of patent + 6 years	Review	
8.2.7	Administration of patent licensing agreements and collection of fees	End of licence + 6 years	Review	
<b>8.3 Copyright Administration</b>				
8.3.1	Requests from third parties to use material in which Oxford Brookes University may have an interest in the copyright	Last Action on request + 5 years	Destroy	JISC

## 9. Finance

	Type of Record	Retention Period	Action	Citation
<b>9.1</b>	<b>Financial Strategy</b>			
9.1.1	Development and establishment of financial strategy.	Superseded + 10 years	Review	JISC
9.1.2	Records containing data on, and analyses of, performance against the plans for the implementation of the institution's finance strategy.	Current Financial Year+ 1 year	Destroy	
9.1.3	Records containing reports of performance against the plans for the implementation of the institution's finance strategy.	Current Financial Year+ 10 years	Destroy	
<b>9.2</b>	<b>Financial Management Policy</b>			
9.2.1	Development and establishment of financial management policies.	Superseded + 10 years	Review	JISC
<b>9.3</b>	<b>Financial Management Procedures</b>			
9.3.1	Development of procedures relating to financial management	Issue of procedures + 1 year	Review	JISC
9.3.2	Master copies of procedures	Superseded + 10 years	Review	
<b>9.4</b>	<b>Financial Audit</b>			
9.4.1	Conduct and results of financial audits, and action taken to address issues raised	Superseded + 10 years	Review	<b>1980 c.58</b>
<b>9.5</b>	<b>Financial Accounting</b>			
9.5.1	Issue of sales invoices and the processing of incoming payments	Current Financial Year + 6 years	Destroy	<b>1970 c.9; 1980 c.58; 1994 c.23; HMCE 700/21</b>
9.5.2	Records relating to the receipt and payment of purchase invoices.	Current Financial Year + 6 years	Destroy	
9.5.3	Documents relating to purchasing card transactions	Current Financial Year + 6 years	Destroy	
9.5.4	Issue of purchase orders and associated requisition documents	Current Financial Year + 6 Years	Destroy	Internal Guidelines
9.5.5	Payment and / or reimbursement of employees' expenses	Current Financial Year + 6 years	Destroy	<b>1970 c.9; 1980 c.58</b>
9.5.6	Payment of honoraria to third parties (unless administered through the payroll)	Current Financial Year + 6 years	Destroy	
9.5.7	Payment of expenses to third parties (e.g. honorary appointees)	Current Financial Year + 6 years	Destroy	
9.5.8	Handling of petty cash	Current Financial Year + 6 years	Destroy	<b>1980 c.58; 1994 c.23</b>
9.5.9	Receipt and processing of students' fees	Current Financial Year + 6 years	Destroy	<b>1970 c.9; 1980 c.58</b>
9.5.10	Preparation of annual accounts	Current Financial Year + 6 years	Destroy	<b>1970 c.9</b>
9.5.11	Annual Accounts	Current Financial Year + 6 years	Archive	<b>1970 c.9</b>
<b>9.6</b>	<b>Management Accounting</b>			
9.6.1	Analyses of the internal deployment of financial resources	Current Financial Year + 2 years	Review	JISC
<b>9.7</b>	<b>Statutory Accounting</b>			
9.7.1	Preparation of statutory accounts	Current Financial Year + 6 years	Destroy	<b>1980 c.58</b>

<b>9.8 Internal Accounting</b>				
9.8.1	Processing of internal accounting transactions between operating units (i.e. cross-charges)	Current Financial Year + 2 years	Review	JISC
9.8.2	Negotiation and administration of formal contracts between operating units (e.g. for the provision of services)	End of Contract + 2 years	Review	
<b>9.9 Funding Administration</b>				
9.9.1	Administration of annual funding allocations from appropriate statutory funding bodies	Current Financial Year + 10 Years	Destroy	JISC
9.9.2	Administration of research grants provided by research councils or corporate sponsors	End of grant + 6 years	Destroy	1980 c.58
9.9.3	Administration of scholarship funds	Current Financial Year + 6 years	Destroy	
9.9.4	Administration of funding from European Structural Funds	Final payment on the programme to the UK + 3 years	Destroy	EC No 1260/1999 Article 39
<b>9.10 Budget Management</b>				
9.10.2	Preparation of annual operating budgets	Current Financial Year (or end of project) + 2 years	Review	JISC
9.10.3	Monitoring of income and expenditure against annual operating budgets, and action taken to deal with variances	Current Financial Year (or end of project) + 2 years	Review	
<b>9.11 Payroll Administration</b>				
9.11.1	Authorisation from employees for non-statutory payroll deductions	Current Tax Year + 6 years	Destroy	1980 c.58
9.11.2	Calculation and payment of salaries and other payments to employees	Current Tax Year + 6 years	Destroy	1970 c.9; 1980 c.58; SI 1993/744; SI 1999/584
9.11.3	Employer's PAYE records which are not required to be sent to the Inland Revenue (under the provisions of the Income Tax (Pay As You Earn) Regulations 2003	Current Tax Year + 3 years	Destroy	SI 2003/2692
9.11.4	Operation of the Statutory Sick Pay scheme	Current Tax Year + 6 years	Destroy	SI 1982/894 SI 989 2005
9.11.5	Operation of the Statutory Maternity Pay scheme	Current Tax Year + 6 years	Destroy	SI 1986/1960 SI 729 2005
<b>9.12 Pension Contributions Administration</b>				
9.12.1	Payments of employers' contributions to pensions schemes for employees	End of employment + 75 years	Destroy	1980 c.58
9.12.2	Payments of employees' contributions to pension schemes	End of employment + 75 years	Destroy	
<b>9.13 Tax</b>				
9.13.1	Preparation and filing of tax returns	Current Tax Year + 6 years	Destroy	1970 c.9
9.13.2	Accounting for VAT	Current Tax Year + 6 years	Destroy	1994 c.23; HMRC 700/21

<b>9.14 Cash, Investments and Assets</b>				
9.14.1	Records documenting the opening, closure and routine administration of bank accounts.	Closure of account + 6 years	Destroy	1980 c.58
9.14.2	Records documenting standing orders, direct debits etc.	Life of instruction + 6 years	Destroy	
9.14.3	Records documenting routine bank account deposits / withdrawals / transfers (paying-in slips, transfer instructions, bank statements etc.)	Current Financial Year + 6 years	Review	1970 c.9 1980 c.58
9.14.5	Purchase or Sale of Investments	Financial Year of Transaction + 6 years	Destroy	1970 c.9
9.14.6	Management of Oxford Brookes University's financial investment portfolio	Divestment + 6 years	Destroy	1980 c.58
9.14.7	Records documenting the value of the institution's capital assets.	Current Financial Year + 6 years	Destroy	1970 c.9
9.14.8	Decisions and authorisations to dispose of capital assets	Financial Year of disposal + 6 years		1970 c.9 1980 c.58
<b>9.15 Alumni Support</b>				
9.15.1	Requests from alumni chapters for financial and other support, the internal handling of these requests and the responses provided	Last action + 1 year	Destroy	JISC
9.15.2	Administration of financial and other support to alumni chapters	Current Financial Year + 1 year	Destroy	

## 10. Procurement

The acquisition of ownership or use of goods, works and services through purchase or lease.

For acquisition of land and buildings, see section **14.2 Estate Management – Property Acquisition**.

For acquisition by donation, see section **28.6 Public Relations – Donations**.

	Type of Record	Retention Period	Action	Citation
<b>10.1</b>	<b>Supplier Approval (applies only to formal applications received as part of a contract notice process and not ad hoc mail shots)</b>			
10.1.1	Development and implementation of the procurement strategy and policies	Superseded + 5 years	Review	JISC
10.1.2	Development of the institution's procurement procedures	Superseded + 3 years	Review	
10.1.3	Supplier evaluation criteria	Superseded + 5 years	Destroy	
10.1.4	Invitations to prospective suppliers to apply for approval	Expiry of invitation or rejection of application + 6 months or completion of approval	Destroy	
10.1.5	Evaluations of applications for approval from prospective suppliers and notification of the outcome: approved suppliers	Termination of approval	Destroy	
10.1.6	Evaluations of applications for approval from prospective suppliers and notification of the outcome: rejected suppliers	Rejection + 1 year	Destroy	
<b>10.2</b>	<b>Supply Contract Tendering</b>			
10.2.1	Process of inviting and evaluating pre-qualification submissions from prospective suppliers	Award of supply contract + 1 year	Destroy	SI 1991/2680; SI 1993/3228; SI 1995/201
10.2.2	Invitations to Tender and tender evaluation criteria	End of supply contract + 6 years	Destroy	1980 c.58; SI 1991/2680; SI 1993/3228; SI 1995/201
10.2.3	Issue of Invitations to Tender and handling of incoming tenders	Award of supply contract + 1 year	Destroy	SI 1991/2680; SI 1993/3228; SI 1995/201
10.2.4	Evaluation of tenders, the conduct of negotiations with tenderers and the notification of results of the tender evaluation process: rejected tenders	Award of supply contract + 2 years	Destroy	
10.2.5	Evaluation of tenders, the conduct of negotiations with tenderers and the notification of results of the tender evaluation process: accepted tenders	End of supply contract + 6 years	Destroy	1980 c.58; SI 1991/2680; SI 1993/3228; SI 1995/201
10.2.6	Contract award report (as required by the Regulations cited)	End of supply contract + 6 years	Review	SI 1991/2680; SI 1993/3228; SI 1995/201
10.2.7	Statistical reports to HM Treasury on contracts awarded (as required by the Regulations cited)	Current Financial Year + 3 years	Destroy	



<b>10.3 Supply Contract Management</b>				
10.3.1	Contract and variations (e.g. revisions, extensions)	End of supply contract + 6 years	Review	1980 c.58
10.3.2	Monitoring of supplier performance and action taken regarding underperformance	End of supply contract + 6 years	Destroy	
<b>10.4 Procurement Authorisation</b>				
10.4.1	Purchasing authorisation limits	Superseded + 1 year	Destroy	JISC
10.4.2	Internal authorisation for procurement	Current financial year + 1 year	Destroy	
10.4.3	Purchase orders	Current Financial Year + 6 years	Destroy	1980 c.58; HMCE 700/21
10.4.4	Goods received notes / Goods inward notes	Current Financial Year + 6 years	Destroy	

## 11. Insurance

	Type of Record	Retention Period	Action	Citation
<b>11.1</b>	<b>Insurance Policies</b>			
11.1.1	Records documenting the development and establishment of the institution's insurance management policies.	Superseded + 5 years	Review	JISC
11.1.2	Records documenting the development of the institution's insurance management procedures.	Superseded + 3 years	Destroy	
11.1.3	Employers' liability insurance	Commencement / renewal of policy + 40 years	Destroy	<b>1969 c.57;</b> <b>SI 1998/2573</b>
11.1.4	All other insurance policies	Expiry of policy + 6 years	Destroy	<b>1980 c.58</b>
11.1.5	Claims	Settlement / withdrawal of claim + 6 years	Review	<b>1980 c.58</b>

## 12. Health and Safety

	Type of Record	Retention Period	Action	Citation
<b>12.1</b>	<b>Health and Safety Strategy</b>			
12.1.1	Records documenting the development and establishment of the institution's health and safety management strategy, policies and procedures.	Superseded + 50 years	Review	1974 c.37
12.1.2	Records documenting the conduct and results of audits and reviews of the health and safety management function, and responses to the results.	Current Year + 10 years	Review	
<b>12.2</b>	<b>Health and Safety Audit</b>			
12.2.1	Conduct and results of health and safety audits, and action taken to address issues raised	Completion of audit + 5 years	Destroy	1974 c.37
<b>12.3</b>	<b>Health and Safety: Consultation</b>			
12.3.1	Notifications of appointments of safety representatives by trade unions under S.I. 1977/500	End of appointment + 1 year	Destroy	SI 1977/500
12.3.2	Provision of time off, and other facilities and assistance, for safety representatives under S.I. 1977/500	Current Year + 5 years	Destroy	
12.3.3	Consultations and other communications with safety representatives appointed under S.I. 1977/500	Current Year + 50 years	Destroy	
12.3.4	Formation of the safety committee under the S.I. 1977/500, including objectives, role, functions, composition and administration of the committee	Life of committee + 50 years	Destroy	
12.3.5	Election of members of the safety committee formed under S.I. 1977/500	Termination of membership + 1 year	Destroy	
12.3.6	Proceedings and decisions of the safety committee formed under the S.I. 1977/500	Current Year + 50 years	Destroy	
12.3.7	Election of representatives of employee safety under S.I. 1996/1513	End of appointment + 1 year	Destroy	SI 1996/1513
12.3.8	Consultations and other communications with representatives of employee safety elected under S.I. 1996/1513, or with all employees directly	Current Year + 50 years	Destroy	
12.3.9	Provision of safety-related training for representatives of employee safety elected under S.I. 1996/1513	Current Year + 5 years	Destroy	
12.3.10	Provision of time off, and other facilities and assistance, for representatives of employee safety appointed under S.I. 1996/1513	Current Year + 5 years	Destroy	

<b>12.4 Health and Safety: Information and Training Provision</b>				
12.4.1	Provision of health and safety information, instruction and training to employees, students and others on Oxford Brookes University premises (for role specific training for fire wardens and first-aiders, see Emergency Planning below)	Current Year + 5 years	Destroy	SI 1981/917; SI 1989/635; SI 1989/682; SI 1989 1790; SI 1992/2792; SI 1992/2793; SI 1992 2932; SI 1992/2966; SI 1996/341; SI 1997/1840; SI 1998/2306; SI 1999/3242; SI 2002/2675 SI/2002/2676 SI 2002/2677
12.4.2	Information and instruction regarding health and safety matters provided for members of the public and others with legitimate access to premises. (includes method of delivery)	Superseded + 5 years	Destroy	1957 c.31; 1974 c.37; SI 1999/3242
<b>12.5 Health and Safety: Hazard Identification and Risk Assessment</b>				
12.5.1	Identification of general health and safety hazards to employees and others on Oxford Brookes University premises, and the conduct and results of risk assessments in relation to plant, equipment, machinery and processes	Elimination of the risk + 5 years or Updating of risk assessment + 5 years	Destroy	SI 1989/1790; SI 1992/2792; SI 1999/3242
12.5.2	Health and safety arrangements for the planning, organisation, control, monitoring and review of preventive and protective measures (as required by S.I.1999/3242)	Review of arrangements + 5 years	Destroy	SI 1999/3242
<b>12.6 Hazardous Substance Exposure Control</b>				
12.6.1	Hazardous substances present or in use	Superseded + 40 years	Destroy	SI 2002/2677
12.6.2	List of employees exposed to Group 3 or Group 4 biological agents as defined in S.I. 2002/2677	Last entry + 40 years	Destroy	
12.6.3	Accidents and incidents involving Group 3 or Group 4 biological agents as defined in S.I. 2002/2677	Date of recording + 40 years	Destroy	
12.6.4	Conduct and results of risk assessments for work involving substances hazardous to health, as defined in S.I. 2002/2677	Elimination of risk + 5 years or Review / updating of risk assessment + 5 years	Destroy	
12.6.5	Examination, testing and repair of plant and equipment provided to control exposure to substances hazardous to health	Date of examination / test / repair + 5 years	Destroy	
12.6.6	Conduct and results of monitoring of exposure of employees to substances hazardous to health: general exposure	Date of last action + 5 years	Destroy	

12.6.7	Conduct and results of monitoring of exposure of employees to substances hazardous to health: exposure of identifiable individual employees	Date of monitoring + 40 years	Destroy	SI 2002/2677
12.6.8	Health surveillance of identifiable individual employees who are exposed to substances hazardous to health	Last entry + 40 years	Destroy	
12.6.9	Conduct and results of risk assessments of work which exposes employees to lead	Elimination of risk + 5 years or Review / updating of risk assessment + 5 years	Destroy	SI 2002/2676
12.6.10	Examination, testing and repair of plant and equipment provided to control exposure to lead	examination / test / repair + 5 years	Destroy	
12.6.11	Air monitoring conducted in accordance with the requirements of S.I. 2002/2676: where exposure requires individual employees to be under medical surveillance in compliance with Regulation 10	Date of monitoring + 40 years	Destroy	
12.6.12	Air monitoring conducted in accordance with the requirements of S.I. 2002/2676: in all other cases	Date of monitoring + 5 years	Destroy	
12.6.13	Health surveillance of identifiable individual employees who are exposed to lead	Last entry + 40 years	Destroy	
12.6.14	Assessments to determine the presence of asbestos	Elimination of asbestos + 5 years or Review of assessment + 5 years	Destroy	
12.6.15	Conduct and results of risk assessments of work which exposes employees to asbestos: where the exposure of employees may exceed the action level	Completion of all work to which the plan relates + 5 years	Destroy	SI 2002/2675
12.6.16	Conduct and results of risk assessments of work which exposes employees to asbestos: in all other cases	Completion of work to which the risk assessment relates + 5 years	Destroy	
12.6.16	Written plans of work (as defined in S.I. 2002/2675) for undertaking work with asbestos	Completion of all work to which the plan relates + 5 years	Destroy	
12.6.17	Notifications to the enforcing authorities of work with asbestos	Duration of the work	Destroy	
12.6.18	Examination, testing and repair of plant and equipment provided to control exposure to asbestos	Date of examination / test / repair + 5 years	Destroy	
12.6.19	Air monitoring conducted in accordance with the requirements of S.I. 2002/2675: where exposure requires health records to be kept for individual employees under Regulation 21	Date of monitoring + 40 years	Destroy	SI 2002/2675

12.6.20	Air monitoring conducted in accordance with the requirements of S.I. 2002/2675: in all other cases	Date of monitoring + 5 years	Destroy	
12.6.21	Health surveillance of identifiable individual employees who are exposed to asbestos	Last entry + 40 years	Destroy	
12.6.22	Certificates of medical examination of identifiable individual employees who are exposed to asbestos	Date of certificate + 40 years	Destroy	
<b>12.7 Health and Safety Inspection</b>				
12.7.1	Conduct and results of health and safety inspections of Oxford Brookes University land, buildings, facilities or operations, and action taken to address issues raised	Current Financial Year + 5 years	Destroy	<b>1974 c.37; SI 1999/3242</b>
<b>12.8 Health and Safety Incident Recording, Reporting and Investigation</b>				
12.8.1	Accidents, dangerous occurrences and outbreaks of notifiable diseases on Oxford Brookes University premises	Date of recording + 3 years	Archive	<b>SI 1979/628; SI 1985/967; SI 1995/3163</b>
12.8.2	Investigation of accidents, dangerous occurrences and outbreaks of notifiable diseases on Oxford Brookes University premises	Closure of investigation + 40 years	Archive	JISC
12.8.3	Notifications and reports of accidents, dangerous occurrences and outbreaks of notifiable diseases to enforcing authorities	Date of notification + 3 years	Destroy	<b>SI 1995/3163</b>
12.8.4	Accidents and incidents involving Group 3 or 4 biological agents as defined in S.I. 2002/2677	Date of recording + 40 years	Destroy	<b>SI 2002/2677</b>
12.8.4	Other accident books/reports	Date of last entry + 3 years	Review	<b>RIDDOR SI 1995/3163</b>
<b>12.9 Employee Health Surveillance</b>				
12.9.1	Pre-employment health screening of an employee	End of employment + 40 years	Destroy	<b>1980 c.58</b>
12.9.2	Health surveillance of identifiable individual employees, other than those specified below	Last entry + 40 years	Destroy	<b>1980 c.58; SI 1999/3242</b>
12.9.3	Health surveillance of identifiable individual employees who are exposed to substances hazardous to health, as defined by S.I. 2002/2677	Last entry + 40 years	Destroy	<b>SI 2002/2677</b>
12.9.4	Health surveillance of identifiable individual employees who are exposed to lead, as required by S.I. 2002/2676	Last entry + 40 years	Destroy	<b>SI 2002/2676</b>
12.9.5	Health surveillance of identifiable individual employees who are exposed to asbestos, as required by S.I. 2002/2675	Last entry + 40 years	Destroy	<b>SI 2002/2675</b>

12.9.6	Certificates of medical examinations of individual employees who are exposed to asbestos, as required by S.I. 2002/2675	Last entry + 40 years	Destroy	<b>SI 2002/2675</b>
<b>12.10 Emergency Planning</b>				
12.10.1	Emergency Plans, including Major Incident Response Plans.	Superseded + 5 years	Destroy	Internal Guidelines
12.10.2	Nomination / appointment of fire wardens	End of appointment	Destroy	<b>1974 c.37; SI 1997/1840; SI 1999/3242</b>
12.10.3	Provision of role-specific training for fire wardens	End of appointment + 5 years	Destroy	<b>1974 c.37; SI 1997/1840</b>
12.10.4	Assessment of requirements for fire fighting systems and equipment	Re-assessment + 5 years	Destroy	
12.10.5	Appointment of official first-aiders	End of appointment	Destroy	<b>1974 c.37; SI 1981/917</b>
12.10.6	Provision of approved role-specific training for first-aiders	End of appointment + 5 years	Destroy	
12.10.7	Assessment of requirements for first aid facilities and equipment	Re-assessment + 5 years	Destroy	
12.10.8	Specifications for first aid facilities and equipment	Superseded + 5 years	Destroy	
12.10.9	Arrangements with external emergency service organisations	Review of arrangements + 5 years	Destroy	<b>SI 1997/1840; SI 1999/3242</b>

## 12a Occupational Health

	Type of Record	Retention Period	Action	Citation
<b>12a.1 Management and administration of OH service</b>				
12a.1.1	Occupational Health Policies	Superseded + 5 years	Destroy	Internal Guidelines
12a.1.2	Office Diaries	Current Year + 1 year	Destroy	Internal Guidelines
12a.1.3	Specifications (e.g. equipment)	2 years from date of submission	Destroy	Internal Guidelines
12a.1.4	Financial Records	Current year + 6 years	Destroy	Internal Guidelines
12a.1.5	Clinical Administration Documents	Current year + 6 years	Destroy	Internal Guidelines
<b>12a.2 Clinical &amp; Reporting Records</b>				
12a.2.1	OH Records (Staff) and (Students) OH assessments of fitness to work and train	3 years after termination of employment unless legal liability ensues – then 7 years	Destroy	<b>1980 c.58</b>
12a.2.2	COSHH Health Surveillance Records	40 years from date of last entry	Destroy	<b>COSHH Regulation 11 (2) (b)</b>
12a.2.3	Classified Medical Examination Records Statutory classified worker examinations	40 years from date of last entry or age 75 whichever is longer	Destroy	<b>IRR99 SI 2002/2675</b>
12a.2.4	RIDDOR – Reporting of Diseases and Dangerous Occurrences Regulations and First Aid Incident Reports	3 years from date of last entry	Destroy	<b>RIDDOR</b>



## 13. Environmental Management

The management of the impact of Oxford Brookes University and its business on the environment, and compliance with environmental legislation.

	Type of Record	Retention Period	Action	Citation
<b>13.1</b>	<b>Strategy</b>			
13.1.1	Development and establishment of the institution's environmental management strategy.	Superseded + 10 years	Archive	Internal Guidelines
13.1.2	Conduct and results of audits and reviews of the environmental management function, and responses to the results.	Current Academic Year + 5 years	Review	JISC
13.1.3	The development and establishment of the institution's environmental management policies.	Superseded + 10 years	Archive	Internal Guidelines
13.1.4	The development of the institution's environmental management procedures.	Superseded + 10 years	Review	JISC
<b>13.2</b>	<b>Environmental Audit</b>			
13.2.1	Conduct and results of environmental audits, and action taken to address issues raised	Completion of audit + 5 years	Review	JISC
<b>13.3</b>	<b>Environmental Hazard Identification and Risk Assessment</b>			
13.3.1	Documentation of identified environmental hazards to the institution, or hazards created by its operations, and the conduct and results of risk assessments	Elimination of risk or updating of risk assessment + 5 years	Destroy	JISC
<b>13.4</b>	<b>Environmental Management Scheme Accreditation</b>			
13.4.1	Attainment and maintenance of Oxford Brookes University's accreditation under established environmental management schemes	End of accreditation + 1 year	Destroy	JISC
<b>13.5</b>	<b>Environmental Awareness Promotion</b>			
13.5.1	Action taken to raise awareness of environmental issues among employees, other staff and students	Current Year + 5 Years	Destroy	JISC
<b>13.6</b>	<b>Environmental Incident Recording, Reporting and Investigation</b>			
13.6.1	Recording of environmental incidents on Oxford Brookes University premises or caused by operations	Last action + 40 years	Archive (Potential long-term liability)	JISC
13.6.2	Records of the investigation of environmental incidents on Oxford Brookes University premises or caused by operations	Closure of investigation + 40 years	Archive (Potential long-term liability)	
13.6.3	Notifications and reports of reportable environmental incidents to enforcing authorities	Date of notification or report + 5 years	Destroy	

<b>13.7 Energy Management</b>				
13.7.1	Routine monitoring of the use and consumption of energy	Current Financial Year + 5 Years	Destroy	JISC
13.7.2	Conduct and results of formal reviews of the use and consumption of energy, and action taken to address issues raised	Completion of review + 5 years	Destroy	
<b>13.8 Waste Management</b>				
13.8.1	Classification, collection and storage of 'controlled waste' prior to removal from Oxford Brookes University premises for disposal	Removal of waste consignment + 2 years	Destroy	SI 1991/2839
13.8.2	Register of 'controlled waste' removed from Oxford Brookes University premises for disposal by registered / licensed contractors	Removal of waste consignment + 2 years	Destroy	
13.8.3	Records of the classification, collection and storage of 'special waste' prior to removal from Oxford Brookes University premises for disposal	Removal of waste consignment + 3 years	Destroy	SI 1996/972
13.8.4	Register of 'special waste' removed from Oxford Brookes University premises for disposal by registered / licensed contractors	Removal of Waste consignment + 3 years	Destroy	

## 14. Estate Management

	Type of Record	Retention Period	Action	Citation
<b>14.1 Strategy</b>				
14.1.1	The development and establishment of the institution's estate strategy.	Superseded + 10 years	Review	JISC
14.1.2	Records documenting the conduct and results of audits and reviews of the estate management function, and responses to the results.	Current Year + 10 years	Review	JISC
14.1.3	The development and establishment of the institution's estate management policies.	Superseded + 10 years	Review	JISC
<b>14.2 Property Acquisition</b>				
14.2.1	Acquisition of property ownership	Ownership of property	Archive	JISC
14.2.2	Deeds and certificates of title for University properties	Ownership of property	Transfer to new owner with property	JISC
14.2.3	Negotiations for properties where the properties were not acquired	Last action + 6 years	Review	<b>1980 c.58</b>
14.2.4	Acquisition of use of properties by lease or rental	Disposal of property + 6 years	Review	<b>1980 c.58</b>
<b>14.3 Property Development</b>				
14.3.1	Development of properties	Ownership of property	Transfer to new owner with property	JISC
14.3.2	Restoration of contaminated land	Ownership of land	Transfer to new owner with land	
<b>14.4 Property Maintenance</b>				
14.4.1	Inspection, maintenance and repair of properties	Completion of Work + 2 years	Destroy	<b>SI 1997/1840</b>
14.4.2	Major property maintenance works	Ownership of property	Transfer to new owner with property	JISC
14.4.3	Inspections to assess whether asbestos is (or is liable to be) present in a building or on land	Review of Assessment	Review	<b>SI 2002/2675</b>
14.4.4	Documentation of the removal of hazardous materials from properties	Removal of material + 6 years	Review	Internal Guidelines
14.4.5	Monitoring of the condition of asbestos in premises	Removal of asbestos + 6 years or Subsequent inspection + 6 years	Review	<b>SI 2002/2675</b>
<b>14.5 Property Disposal</b>				
14.5.1	Disposal of property	Disposal of property + 6 years	Archive	JISC

<b>14.6 Property Compliance</b>				
14.6.1	Conduct and results of inspections of properties by the enforcing authorities, and action taken to address issues raised	Superseded	Destroy	JISC
14.6.2	Fire certificates	Superseded	Destroy	
<b>14.7 Property Security</b>				
14.7.1	Conduct and results of security inspections of properties, and action taken to address issues raised	Superseded	Destroy	JISC
14.7.2	Control of access to secure areas (e.g. access registers, key registers, security data logs)	Superseded + 2 years	Destroy	
14.7.3	CCTV Recordings	Creation + 1 month	Destroy	
14.7.4	Issue of security passes to visitors	Expiry of pass + 1 year	Destroy	
14.7.5	Issue of security passes to employees, other staff and students	Expiry of pass + 1 year	Destroy	
14.7.6	Conduct of routine security surveillance of properties	Creation + 1 month	Destroy	
14.7.7	Security breaches or incidents and action taken	Last action + 1 year	Destroy	
<b>14.8 Property Leasing-Out</b>				
14.8.1	Leasing-out arrangements for properties	End of Lease + 6 years	Review	1980 c.58
<b>14.9 Facility Development</b>				
14.9.1	Specification of requirements for facilities	Superseded + 1 year	Destroy	JISC
14.9.2	Development of interior design and fitting-out schemes	Superseded + 1 year	Review	
14.9.3	Contracts for carrying out interior decoration and fitting-out works	Superseded + 1 year	Review	
<b>14.10 Facility Maintenance</b>				
14.10.1	Conduct and results of inspections of facilities, and action taken to address issues raised	Superseded	Destroy	JISC
14.10.2	Carrying out planned preventive maintenance works within facilities	Current Financial Year + 6 years	Destroy	Internal Guidelines
14.10.3	Carrying out repairs to interior decoration, fixtures and fittings	Current Year + 1 year	Destroy	
<b>14.11 Facility Security</b>				
14.11.1	Conduct and results of security inspections of facilities and action taken to address issues raised	Superseded	Destroy	JISC
14.11.2	Conduct of routine surveillance of facilities	Creation + 1 month	Destroy	
14.11.3	Occurrences of unauthorised access to facilities, and action taken	Last action + 1 year	Review	Internal Guidelines

<b>14.12 Facility Compliance</b>				
14.12.1	Conduct and results of inspections of facilities by enforcing authorities and action taken to address issues raised	Inspection Superseded. Longer retention periods may be required by enforcing authorities	Destroy	JISC
<b>14.13 Facility Relocation</b>				
14.13.1	Planning for the relocation of facilities within buildings or to other buildings	Completion of relocation + 10 years	Review	JISC
14.13.2	Physical relocation of facilities	Completion of relocation + 2 years	Review	

## 15. Equipment and Consumables

	Type of Record	Retention Period	Action	Citation
<b>15.1 Strategy</b>				
15.1.1	The development and establishment of the institution's equipment and consumables management strategy	Superseded + 5 years	Review	JISC
15.1.2	The development and establishment of the institution's equipment and consumables management policies	Superseded + 5 years	Review	
15.1.3	The development of the institution's equipment and consumables management procedures.	Superseded + 3 years	Destroy	
<b>15.2 Selection</b>				
15.2.1	Specification and selection of a major item	Life of the item + 6 years	Review	1980 c.58
15.2.2	Specification and selection of an item which is safety critical or associated with hazardous operations	Life of the item + 40 years	Review	JISC
15.2.3	Specification and selection of any other item	Life of the item	Destroy	JISC
<b>15.3 Storage</b>				
15.3.1	Monitoring of the condition of stored items	Current Financial Year + 1 year	Destroy	Internal Guidelines
15.3.2	Stock inventory	Superseded	Destroy	
15.3.3	Routine stocktaking and stock checking	Current Year + 1 year	Destroy	JISC
15.3.4	Movement of stock into and out of storage	Current Year + 1 year	Destroy	
<b>15.4 Installation / Commissioning</b>				
15.4.1	Installation of a major item	Decommissioning / removal + 6 years	Destroy	1980 c.58; SI 1998/2306
15.4.2	Installation of an item which is safety critical or associated with hazardous operations	Decommissioning / removal + 40 years	Review	
15.4.3	Installation of any other item	Decommissioning / removal + 1 year	Destroy	SI 1998/2306
15.4.4	Pre-commissioning examinations of lifting equipment, as required by S.I. 1998/2307	Decommissioning	Destroy	SI 1998/2307
15.4.5	Pre-commissioning examinations of accessories for lifting, as required by S.I. 1998/2307	Issue of report + 2 years	Destroy	
15.4.6	Post-installation examinations of lifting equipment, as required by S.I. 1998/2307	Decommissioning	Destroy	

<b>15.5 Inspection and Testing</b>				
15.5.1	Inspection and testing of items which are not safety critical or associated with hazardous operations	Completion of next inspection or disposal of item + 1 year	Destroy	SI 1998/2306
15.5.2	Inspection and testing of items which are safety critical or associated with hazardous operations	Disposal of item + 5 years	Destroy	SI 1997/1840
15.5.3	Examination, testing and repair of items provided to control exposure to hazardous substances	Last action + 5 years	Destroy	SI 2002/2677
15.5.4	Examination, testing and repair of items provided to control exposure to asbestos	Creation + 5 years	Destroy	SI 2002/2675
15.5.5	Inspections of lifting equipment, as defined in S.I. 1998/2307	Completion of next inspection	Destroy	SI 1998/2307
15.5.6	Inspections and 'thorough examinations' of lifting equipment, as required by S.I. 1998/2307	Completion of next report or issue of report + 2 years	Destroy	
<b>15.6 Maintenance</b>				
15.6.1	Maintenance: major items	Decommissioning / removal + 6 years	Destroy	1980 c.58; SI 1998/2306
15.6.2	Maintenance: items which are safety critical or are associated with hazardous operations	Decommissioning / removal + 40 years	Destroy	
15.6.3	Maintenance: items proved to control exposure to asbestos	Creation + 5 years	Destroy	SI 2002/2675
15.6.4	Maintenance: equipment provided to meet the requirements of S.I. 2002/2675	Creation + 5 years	Destroy	
<b>15.7 Disposal</b>				
15.7.1	Authorisations for the disposal of items, and the evaluation of alternative methods of disposal	Disposal + 1 year	Destroy	JISC
15.7.2	Cleaning / sanitisation prior to disposal of items used in connection with operations involving substances hazardous to health	Disposal of item + 6 years	Destroy	1980 c.58
15.7.3	Cleaning / sanitisation of other items prior to disposal	Disposal + 1 year	Destroy	JISC
15.7.4	Transfers of ownership	Disposal + 1 year	Destroy	

## 16. Internal Services

The management of services operated by Oxford Brookes University to support its employees and, in some cases, its students, including:

Mail  
 Caretaking  
 Printing services  
 Catering  
 Records management  
 Archives  
 Special collections  
 Library  
 IT support  
 Reception  
 Help-desks  
 Security

Internal services may be:

managed and provided directly by Oxford Brookes University  
 managed and provided by a third-party organisation under contract  
 managed and provided as a joint venture between Oxford Brookes University and other organisations

Use this section for services, which are integrated for employees and students (eg library and computing services)

For services which are provided exclusively for students (eg student accommodation services), see section **22 Student Support**.

	Type of Record	Retention Period	Action	Citation
<b>16.1 Strategy</b>				
16.1.1	The development and establishment of the institution's internal services strategy.	Superseded + 5 years	Archive	Internal Guidelines
16.1.2	Conduct and results of audits and reviews of the overall management of internal services, and the responses to the results.	Current Year + 5 Years	Review	JISC
16.1.3	Development and establishment of the institution's policies on the overall management and development of internal services.	Superseded + 5 years	Archive	Internal Guidelines
16.1.4	Development of the institution's procedures for the overall management and development of internal services.	Superseded + 3 years	Destroy	JISC
<b>16.2 Internal Service Proposal Development</b>				
16.2.1	Development and evaluation of a proposal to set up an internal service: where a decision is made to proceed	Life of the service	Review	Internal Guidelines
16.2.2	Development and evaluation of a proposal to set up an internal service: where a decision is made to not proceed	Last action + 5 years	Destroy	



<b>16.3 Internal Service Planning</b>				
16.3.1	Planning the management and operation of an internal service	Current Year + 3 Years	Review	JISC
<b>16.4 Internal Service Performance Management</b>				
16.4.1	Data on, and analyses of, the performance of an internal service	Current Financial Year + 1 year	Destroy	Internal Guidelines
16.4.2	Reports on the performance of an internal service	Current Financial Year + 3 Years	Archive	
16.4.3	Conduct and results of audits and reviews of an internal service, and the responses to the results	Current Financial Year + 3 Years	Review	JISC
<b>16.5 Internal Service Policy Development</b>				
16.5.1	Development and establishment of policies on the operation, management and development of an internal service	Superseded + 5 years	Archive	Internal Guidelines
<b>16.6 Internal Services Procedures Development</b>				
16.6.1	Development of procedures for the operation, management and development of an internal service	Superseded + 1 year	Destroy	Internal Guidelines
<b>16.7 Internal Services Quality Management</b>				
16.7.1	Development and establishment of service Standards for an internal service	Superseded + 1 year	Destroy	Internal Guidelines
16.7.2	Data on, and analyses of, the quality of service delivered against the established service Standards	Current Financial Year + 1 year	Destroy	
16.7.3	Reports on service quality	Current Financial Year + 3 Years	Archive	
16.7.4	Conduct and results of independent reviews of service quality, and the responses to the results	Current Financial Year + 5 Years	Review	
<b>16.8 Internal Service Promotion</b>				
16.8.1	Development and assessment of promotional campaigns for an internal service	Superseded + 1 year	Destroy	JISC
16.8.2	Promotional materials	Superseded	Archive	Internal Guidelines
<b>16.9 Internal Service Delivery</b>				
	See appropriate section for the function			
<b>16.10 Internal Service Customer Relations</b>				
16.10.1	Design and conduct of customer surveys	Completion of survey + 3 years	Destroy	JISC
16.10.2	Results of customer surveys: individual responses	Completion of analysis of survey responses	Destroy	
16.10.3	Results of customer surveys: summaries and analysis of responses	Completion of survey+ 3 years	Archive	
16.10.4	Unsolicited customer feedback on the service, the internal handling of the feedback and the responses provided	Last action + 3 years	Destroy	
16.10.5	Customer complaints about the service, the internal handling of these complaints and the responses provided	Last action + 6 years	Review	Internal Guidelines

## 17. Information Management

The management of the information resources generated or acquired by Oxford Brookes University in the course of its work or to support its work.

	Type of Record	Retention Period	Action	Citation
<b>17.1 Strategy</b>				
17.1.1	The development and establishment of the institution's information resources management strategy.	Superseded + 5 years	Archive	Internal Guidelines
17.1.2	The development and establishment of the institution's information resources management policies.	Superseded + 5 years	Archive	Internal Guidelines
17.1.3	The development of the institution's information resources management procedures.	Superseded + 3 years	Destroy	JISC
<b>17.2 Records Management</b>				
17.2.1	Classification and indexing schemes for records	Superseded + 5 years	Archive	JISC
17.2.2	Monitoring and control of the storage of records	Current Year + 1 year	Destroy	
17.2.3	Movement of records to/from commercial storage	Return of records + 1 year	Destroy	
17.2.4	Determination of retention periods for records	Superseded + 6 years	Destroy	<b>1980 c.58</b>
17.2.5	Final version of record retention schedule(s)	Superseded	Archive	JISC
17.2.6	Review of individual records to determine requirements for ongoing retention	Life of the records + 6 years	Destroy	<b>1980 c.58</b>
17.2.8	Authorisations for the disposal of records, where necessary	Life of the records + 6 years	Archive	
17.8.9	Transfer of records to Oxford Brookes University Archives	Completion of the transfer + 1 year	Destroy	JISC
<b>17.3 Data Protection Act (DPA) Compliance</b>				
17.3.1	Notifications of data controller details to the Office of the Information Commissioner	Expiry of notification + 6 years	Destroy	<b>1980 c.58</b>
17.3.2	Requests for access to personal data under the Data Protection Act 1998	Last action + 6 years	Destroy	
17.3.3	Anonymous management statistics, analyses and reports of requests for access to personal data under the Data Protection Act 1998	Current Year + 10 Years	Destroy	JISC
17.3.4	Individual Employee Data Protection Training Record	End of Employment + 6 Years	Destroy	<b>1980 c.58</b>

<b>17.4 Freedom of Information Act (FOIA) Compliance</b>				
17.4.1	Development and maintenance of the publication scheme as required by the Freedom of Information Act 2000	Revision of publication scheme + 5 years	Archive	2000 FOI Act
17.4.2	Requests for access to information under the Freedom of Information Act 2000	Last action + 6 years	Destroy	1980 c.58
17.4.3	Anonymous management statistics, analyses and reports of requests for access to information under the Freedom of Information Act 2000	Current Year + 10 Years	Destroy	JISC
<b>17.5 Copyright Compliance</b>				
17.5.1	Applications to copy material outside the scope of the Higher Education Licence Agreement and the results	Last action + 6 years	Destroy	1980 c.58
17.5.2	Routine monitoring of copying	Current Year + 1 year	Destroy	JISC
17.5.3	Calculations of payments due to collecting organisations	Current Financial Year + 6 years	Destroy	
17.5.4	Statistics provided to the Copyright Licensing Agency	Current Financial Year + 1 year	Destroy	
17.5.5	Participation in surveys undertaken by the Copyright Licensing Agency	Current Financial Year + 1 year	Destroy	
17.5.6	Participation in inspections undertaken by copyright owners or their representatives to check compliance with legal and contractual provisions	Last action + 1 year	Destroy	
<b>17.6 Archives Management</b>				
17.6.1	Development and establishment of selection criteria for records to be preserved as archives	Life of the archives	Archive	JISC
17.6.2	Appraisal, selection and acquisition of records for preservation as archives	Life of the records	Archive	
17.6.3	Accessioning of records acquired for preservation as archives	Life of the records	Archive	
17.6.4	Scheme of arrangement for the archives	Life of the records arranged using the scheme	Destroy	Internal Guidelines
17.6.5	Development of the standard descriptive model for the archives	Life of the archives described using this scheme	Review	JISC
17.6.6	Arrangement and contents of the archives	Life of the archives	Archive	
17.6.7	Monitoring and control of archival storage areas	Current Financial Year + 1 year	Review	
17.6.8	Conservation work undertaken on the archives	Life of the archives	Archive	
17.6.9	Enquiries about and requests for access to archives and the responses provided	Last action + 1 year	Destroy	
17.6.10	Movement of archives from storage and their return	Return of items + 5 years	Destroy	Internal Guidelines
17.6.11	Distilled usage statistics	Life of Archive	Archive	

17.6.12	Development and maintenance of specialised finding aids promoting and facilitating access to the archives	Superseded	Review	JISC
17.6.13	Design and distribution of promotional materials to raise awareness and encourage use of the archives	Superseded	Archive	
17.6.14	Selection and use of archives by staff (e.g. for teaching, events, publication, television programmes)	Last action + 5 years	Review	JISC
17.6.15	Loan of archives to third parties	End of loan + 6 years	Destroy	JISC
17.6.16	Authorisation for the disposal of deaccessioned archives	Disposal + 1 year	Archive	
<b>17.7 Collections Management</b>				
17.7.1	Development and establishment of selection / acceptance criteria for collections	Life of the collections	Review	JISC
17.7.2	Appraisal, selection and acquisition of collections	Life of the collection	Archive	
17.7.3	Accessioning of collections	Life of the collection	Archive	Internal Guidelines
17.7.4	Scheme of arrangement for collections	Life of the collections arranged according to the scheme	Archive	
17.7.5	Development of the standard descriptive model for the collections	Life of the collections described using the model	Archive	
17.7.6	Arrangement and contents of collections	Life of the collection	Archive	
17.7.7	Monitoring and control of the storage conditions and environment for collections	Current Financial Year + 1 year	Archive	
17.7.8	Conservation work undertaken on collections	Life of the collection	Archive	
17.7.9	Enquiries about and requests for access to items in the collections and the responses provided	Last action + 1 year	Destroy	JISC
17.7.10	Movement of items from storage and their return	Return to storage + 1 year	Destroy	
17.7.11	Development and maintenance of specialised finding aids to promote and facilitate access to collections	Superseded	Review	Internal Guidelines
17.7.12	Design and distribution of promotional materials to raise awareness and encourage use of collections	Superseded	Archive	JISC
17.7.13	Selection and use of items from the collections by staff (e.g. for teaching, events, publication, television programmes)	Current Financial Year + 5 Years	Review	JISC
17.7.14	Loan of items to third parties	End of loan + 6 years	Archive	Internal Guidelines

17.7.15	Authorisation for the disposal of deaccessioned items	Disposal + 1 year	Archive	JISC
17.7.16	Special Collections Functional Group Minutes	Superseded	Archive	Internal Guidelines
17.7.17	Interlibrary loans	End of Loan + 6 years	Destroy	Internal Guidelines
17.17.18	Borrower Records	End of Student Relationship + 3 years	Destroy	
<b>17.8 Publications Management</b>				
17.8.1	Process of selecting publications for purchase	Completion of purchase	Destroy	JISC
17.8.2	Schemes for classifying and cataloguing publications	Superseded + 1 year	Destroy	
17.8.3	Catalogues / indexes	Superseded	Review	Internal Guidelines
17.8.4	Monitoring and control of storage conditions	Current Financial Year + 1 year	Archive	
17.8.5	Movement of items from storage and their return	Return to storage + 1 year	Destroy	JISC
17.8.6	Conservation work undertaken on publications	Life of the item	Archive	Internal Guidelines
17.8.7	Decisions to (dis)continue purchase of publications	Last action + 1 year	Destroy	JISC
17.8.7	Authorisation for the disposal of redundant publications	Disposal + 1 year	Archive	Internal Guidelines

## 18. Information and Communications Technology Systems

For the provision of IT services to users of Oxford Brookes University's IT systems, see section 16 *Internal services*.

	Type of Record	Retention Period	Action	Citation
<b>18.1</b>	<b>IT Systems Development</b>			
18.1.1	The development and establishment of the institution's ICT systems strategy.	Superseded + 5 years	Review	JISC
18.1.2	Reports of performance against the plans for the implementation of the institution's ICT systems strategy.	Current Academic Year + 5 years	Review	
18.1.3	Conduct and results of audits and reviews of the ICT systems management function, and responses to the results.	Current Academic Year + 5 years	Review	
18.1.4	Development and establishment of the institution's ICT systems management policies.	Superseded + 5 years	Review	
18.1.5	Development of the institution's ICT systems management procedures.	Superseded + 3 years	Review	
18.1.6	Initial development and post-implementation modification and maintenance of ICT systems	Decommissioning of system + 5 years	Review	
18.1.7	Initial development of ICT systems which are not implemented	Last action + 5 years	Destroy	
18.1.8	Documentation of the management of ICT systems development projects (i.e. project management)	End of project + 5 years	Destroy	
18.1.9	Policies for availability and conditions of use of computing facilities.	Life of Policy + 6 years	Review	
<b>18.2</b>	<b>IT Systems Operation</b>			
18.2.1	Routine testing and monitoring of the operation of ICT systems, and action taken to rectify problems and optimise performance	Current Year + 1 year	Destroy	JISC
18.2.2	Faults reported by users of ICT systems, and action taken to investigate and resolve the problem	Last action + 1 year	Destroy	
18.2.3	Management of system data storage, including the operation of routine backup, archiving and deletion routines (for Session Logs see 18.2.6)	Current Financial Year + 1 year	Destroy	
18.2.4	User requests to recover data from backup or archive stores, and action taken	Last action + 3 months	Destroy	
18.2.5	Maintenance of appropriate software licences for live ICT systems	Superseded	Destroy	
18.2.6	Session Logs	6 months	Destroy	Internal Guidelines

<b>18.3 IT Systems Security</b>				
18.3.1	Security arrangements for ICT systems	Decommissioning of system + 5 years	Destroy	JISC
18.3.2	Opening, maintenance and closure of user accounts for ICT systems	Closure of account + 1 year	Destroy	
18.3.3	Attempted or actual security breaches of ICT systems and action taken	Last action + 1 year	Archive	
18.3.4	Requests for, and authorisation of, connections of third party equipment to Oxford Brookes University's networks, either on Oxford Brookes University premises or via dial-up communications links	End of connection + 1 year	Destroy	
18.3.5	Removal of mobile ICT systems hardware and software from Oxford Brookes University premises and their return	Return of equipment + 3 months	Destroy	
18.3.6	Arrangements for the sanitisation of ICT equipment prior to disposal	Disposal + 1 year	Destroy	
<b>18.4 IT Systems User Support</b>				
18.4.1	Development of technical and application training for ICT system users	Superseded + 1 year	Destroy	JISC
18.4.2	User requests for technical and application support, and assistance provided	Last action + 1 year	Destroy	

## 19. Teaching

The provision of teaching to deliver taught programmes, including both undergraduate and postgraduate programmes leading to awards.

	Type of Record	Retention Period	Action	Citation
<b>19.1 Course Information</b>				
19.1.1	Records detailing information available about current courses, programmes, Departments, Schools, Facilities for Students	Superseded + 2 years	Archive	JISC
<b>19.2 Teaching Policies and Procedures</b>				
19.2.1	Records documenting the development and establishment of the institution's teaching strategy.	Superseded + 10 years	Archive	Internal Guidelines
19.2.2	Records documenting the development and establishment of the institution's teaching policies.	Superseded + 10 years	Archive	
19.2.3	Records documenting the development and establishment of the institution's teaching procedures.	Superseded + 5 years	Review	JISC
19.2.4	Records documenting the development of taught course assessment procedures.	Superseded	Review	
19.2.5	Final versions of taught course assessment procedures.	Superseded	Archive	
<b>19.3 Teaching Quality and Standards</b>				
19.3.1	Development of internal quality assurance processes	Superseded	Review	JISC
19.3.2	Conduct and results of formal internal reviews of teaching quality, and responses to the results	Current Academic Year + 5 years	Review	
19.3.3	Conduct and results of external reviews and audits of teaching quality and standards	Next Review Year + 5 years	Review	
<b>19.4 Taught Programme Development</b>				
19.4.1	Development and approval of the taught curriculum	Completion of final cohort + 5 years	Archive	JISC
19.4.2	Programme Specification	Completion of final cohort + 5 years	Review	
19.4.3	Programme Handbook	Completion of final cohort + 5 years	Review	
19.4.4	Monitoring of external developments and trends to inform the development of the taught curriculum	Current Academic Year + 5 years	Review	
<b>19.5 Taught Programme Review</b>				
19.5.1	Routine and ad hoc feedback on the taught curriculum from staff, students, external examiners and others	Current Academic Year + 5 years	Destroy	JISC
19.5.2	Conduct and results of formal reviews of the taught curriculum, and the responses to the results	Current Academic Year + 10 years	Archive	



19.5.3	Anonymous summaries and analyses of routine solicited feedback on taught programmes from staff, examiners and students	Current Financial Year + 6 years	Destroy	
19.5.4	Monitoring of taught programme developments in other HE institutions	Current Academic Year + 1 year	Destroy	
19.5.5	Data regarding / analyses of student numbers and other taught programme statistics	Current Academic Year + 5 years	Archive	
<b>19.6 Taught Programme Approval and Accreditation</b>				
19.6.1	Obtaining of approval and / or accreditation for taught programmes from professional, statutory or other accreditation bodies	Life of programme	Review	JISC
<b>19.7 Taught Module Development</b>				
19.7.1	Development of taught modules	Life of module + 10 years	Review	JISC
<b>19.8 Taught Module Preparation and Delivery</b>				
19.8.1	Development of taught module Materials	Life of module + 3 years	Destroy	Internal Guidelines
19.8.2	Final version of taught module materials	Life of module + 3 years	Archive	JISC
19.8.3	Working papers of the planning and conduct of teaching events	Current Academic Year + 1 year	Destroy	
<b>19.9 Taught Module Review</b>				
19.9.1	Data regarding / analyses of student numbers and other taught module statistics	Current Academic Year + 5 years	Review	JISC
19.9.2	Routine feedback on taught modules from staff and examiners: individual feedback	Current Academic Year + 5 years	Destroy	
19.9.3	Routine solicited feedback on taught modules from students: individual feedback	Completion of analysis of feedback	Destroy	
19.9.4	Anonymous summaries and analyses of routine solicited feedback on taught modules from staff, examiners and students	Current Academic Year + 5 years	Review	
19.9.5	Reports of routine internal reviews of taught modules	Current Academic Year + 5 years	Review	
19.9.6	Conduct and results of formal reviews of taught modules, and the responses to the results	Current Academic Year + 5 years	Review	
<b>19.10 Taught Module Assessment</b>				
19.10.1	Development of taught module assessments	Life of module	Review	JISC
19.10.2	Final versions of taught module assessments	Life of module	Archive	
19.10.3	Submitted / completed assessments of taught course students	Current Year + 3 years	Destroy	Internal Guidelines
19.10.4	Exam scripts of taught course students	Graduation + 3 years	Destroy	JISC

19.10.5	Marks awarded to submitted / completed assessments, including reviews in response to notifications of mitigating circumstances and academic appeals	Current Academic Year + 6 years	Destroy	JISC
<b>19.11 Taught Student Academic Support (Tutorial Support)</b>				
19.11.1	Feedback on academic progress, and general academic guidance and support, given to individual taught students	Completion of student's programme + 6 years	Destroy	<b>1980 c.58</b>

## 20. Research

The undertaking of research and delivery of supervised research projects.

	Type of Record	Retention Period	Action	Citation
<b>20.1 Research Quality and Standards</b>				
20.1.1	Development of internal quality assurance processes	Superseded	Review	JISC
20.1.2	Conduct and results of formal internal reviews of research quality, and responses to the results	Current Financial Year + 5 years	Review	
20.1.3	Conduct and results of external reviews and audits of research quality and standards	Current Financial Year + 5 years	Review	
<b>20.2 Research Business Development</b>				
20.2.1	Liaison with research sponsors to monitor their research policies and to promote Oxford Brookes University's capabilities	Current Financial Year + 5 years	Destroy	JISC
20.2.2	Identification and exploration of new research opportunities which lead to research projects	Completion of project	Review	
20.2.3	Identification and exploration of new research opportunities which do not lead to research projects	Last action + 1 years	Destroy	
20.2.4	Formation and management of partnerships and other collaborative arrangements to undertake research	Life of partnership / arrangement + 6 years	Review	<b>1980 c.58</b>
<b>20.3 Research Project Development</b>				
20.3.1	Design of research projects and the preparation of formal research project proposals which lead to research projects	Completion of project + 6 years	Review	JISC
20.3.2	Design of research projects and the preparation of formal research project proposals which do not lead to research projects	Last action + 1 years	Review	
<b>20.4 Research Project Conduct</b>				
Retention requirements for research data and records needs to be determined on a project by project basis, taking into consideration: the legal and regulatory framework for particular types of research. the terms and conditions imposed by external research sponsors. the commercial, political or ethical sensitivity of particular types of research, or any research for particular external sponsors.				
20.4.1	Final reports of all research projects	Completion of project + 6 years	Archive	JISC
<b>20.5 Research Project Management</b>				
20.5.1	Management of internally funded research projects	Completion of project + 6 years	Destroy	Internal guidelines
20.5.2	Management of externally funded research projects	Completion of project + 6 years	Destroy	<b>1980 c.58</b>
20.5.3	Final reports of all research projects	Completion of project + 6 years	Archive	JISC

<b>20.6 Research Dissemination</b>				
20.6.1	Announcements of research results other than in publications or through the media	Announcement + 1 year	Destroy	JISC
20.6.2	Preparation of publications, audiovisual presentations, demonstrations or other means of disseminating research results	Publication / delivery + 1 year	Destroy	JISC
20.6.3	Final versions of publications, presentations etc	Publication / delivery + 3 years	Archive	
20.6.4	Data generated in the course of the research project	Publication of results + 10 years	Review	JISC
20.6.5	Data generated in the course of the research project (projects of clinical or major social, environmental or heritage importance)	Publication or results + 20 years	Archive	Internal Guidelines
<b>20.7 Research Exploitation</b>				
20.7.1	Identification of new intellectual property and liaison with specialists regarding applications for patents, etc	Last action + 6 years	Review	JISC
20.7.2	Identification of opportunities for commercial exploitation of research results and liaison with specialist staff regarding formation of spin-out companies to develop commercial products	Last action + 6 years	Review	
<b>20.8 Research Programme Development</b>				
20.8.1	Development of research programmes	Life of programme + 10 years	Review	JISC
20.8.2	Routine monitoring of external developments and trends to inform the development of research programmes	Current Financial Year + 1 year	Destroy	
<b>20.9 Research Programme Review</b>				
20.9.1	Data regarding / analyses of student numbers and other programme statistics	Current Financial Year + 3 years	Archive	JISC
20.9.2	Routine internal reviews of research programmes	Current Financial Year + 5 years	Review	
20.9.3	Conduct and results of formal independent reviews of research programmes and the responses to results	Current Financial Year + 5 years	Review	
<b>20.10 Research Student Assessments</b>				
20.10.1	Conduct of formal assessments of work undertaken by research students	Completion of student's programme + 6 years	Destroy	1980 c.58
20.10.2	Awards and classifications including reviews in response to notifications of mitigating circumstances or academic appeals	Current Financial Year + 6 years	Archive	
<b>20.11 Research Student Academic Supervision and Support</b>				
20.11.1	Appointment of supervisors for research students	End of appointment + 6 years	Destroy	Internal guidelines

20.11.2	Academic advice and guidance to individual students regarding selection of research subjects and the progress / standard of their work	Completion of student's programme + 6 years	Destroy	1980 c.58
20.11.3	Development and delivery of training in research-related skills	Current Financial Year + 6 years	Destroy	JISC

## 21. Student Administration

Recruiting and administering students.

	Type of Record	Retention Period	Action	Citation
<b>21.1</b>	<b>Course Information</b>			
21.1.1	Structure and Content of each programme	Superseded	Archive	JISC
21.1.2	Tuition and other Course fees	Length of Course + 6 Years		<b>1980 c.58</b>
<b>21.2</b>	<b>Student Recruitment</b>			
21.2.1	Records documenting the development and establishment of the institution's student administration strategy.	Superseded + 10 Years	Archive	Internal Guidelines
21.2.2	Records documenting the development and establishment of the institution's student administration policies.	Superseded + 10 Years	Archive	
21.2.3	Development and establishment of the institution's student administration procedures.	Superseded + 10 years	Review	JISC
21.2.4	Design, conduct and summary results of student recruitment campaigns	Completion of campaign + 5 years	Archive	Internal Guidelines
21.2.5	Design, organisation and summary results of student recruitment events	Completion of campaign + 5 years	Review	JISC
21.2.7	Issue of student recruitment materials in bulk to schools and other organisations (For Prospectuses see <b>31.1</b> )	Current Academic Year	Destroy	
21.2.8	Handling of enquiries from prospective undergraduate students	Current Academic Year + 18 months	Destroy	Internal Guidelines
21.2.9	Handling of enquiries from prospective postgraduate students	Current Academic Year + 3 years	Destroy	
21.1.10	Summaries and analyses of enquiry, recruitment and retention data	Current Academic Year + 5 years	Destroy	Review
<b>21.3</b>	<b>Student Admission</b>			
21.3.1	Development and establishment of admission criteria and policies	Superseded + 10 years	Archive	Internal Guidelines
21.3.2	Handling of applications for admission: successful applications	End of student relationship + 6 years	Destroy	<b>1980 c.58</b>
21.3.3	Records of the handling of applications for admission: unsuccessful applications	Current Academic Year + 1 year	Destroy	JISC
21.3.4	Administration of the clearing process	Current Academic Year + 1 year	Destroy	
21.3.5	Data regarding overall student numbers	Current Academic Year + 1 year	Archive	Internal Guidelines
21.3.6	Records of the handling of applications for admission: successful applicants who do not enrol	Current Academic Year + 1 year	Destroy	Internal Guidelines

<b>21.4 Student Registration</b>				
21.4.1	Registration of individual students on programmes	End of student relationship + 6 years	Destroy	1980 c.58
21.4.2	Initial assessment of Students.	End of student relationship + 6 years	Destroy	1980 c.58
21.4.3	Summaries and analyses of data regarding students registering on programmes	Current Academic Year + 5 years	Destroy	JISC
<b>21.5 Student Induction</b>				
21.5.1	Design, conduct and review of induction programmes for new students	Completion of programme + 5 years	Destroy	JISC
21.5.2	Administration of induction programmes and events for new students	Current Academic Year + 1 year	Destroy	
<b>21.6 Student Records Administration</b>				
21.6.1	Collection, maintenance, and use of personal information about students.	Superseded + 6 Years	Review	1980 c.58
21.6.2	Personal data of individual students	Retention variable for different types of personal data up to a maximum of: End of registered student relationship + 6 years	Review. Core data to be archived.	1980 c.58 KCL Case Study
21.6.3	Core Student Data	This is the minimal record kept to provide references for former students required for at least 10 years	Archive	JISC
21.6.3	Administration of Student Financial and employment support.	Current Academic Year + 6 years	Destroy	
21.6.4	Standard analyses of data from records of individual students	Current Academic Year + 5 years	Review	
21.6.5	Handling of requests for ad hoc analyses of data from records of individual students	Last action + 1 year	Destroy	
21.6.6	Handling of requests from individual students for statements of results / transcripts	Last action + 1 year	Destroy	
21.6.7	Handling of requests for confirmation of awards, attendance or conduct for individual students from employers and other educational institutions	Last action + 1 year	Destroy	
21.6.8	Design and conduct of First Destination Surveys	Current Academic Year + 5 years	Destroy	Internal Guidelines
21.6.9	First Destination Surveys: individual responses	Completion of analysis of responses	Destroy	JISC
21.6.10	Anonymous summaries and analyses of the results of First Destination Surveys	Current Academic Year + 5 years	Archive	

<b>21.7 Student Progress Administration</b>				
21.7.1	Academic progress of individual students and formal action taken to deal with unsatisfactory progress	End of student relationship + 6 years	Archive (May be part of core student data 21.6.3)	<b>1980 c.58</b>
21.7.2	Transfer of individual students to new programmes or to new courses within programmes	End of student relationship + 6 years	Archive (May be part of core student data 21.6.3)	
21.7.3	Withdrawal of individual students from the University	End of student relationship + 6 years	Archive (May be part of core student data 21.6.3)	
21.7.4	Termination of programmes by individual students	End of student relationship + 6 years	Archive (May be part of core student data 21.6.3)	
<b>21.8 Student Disciplinary Case Handling</b>				
21.8.1	Policies and Procedures for disciplinary proceedings against students.	Superseded + 6 Years	Archive	<b>1980 c.58</b>
21.8.2	Conduct and results of disciplinary proceedings against individual students	Last Action + 6 years	Review	
<b>21.9 Student Academic Appeal handling</b>				
21.9.1	Handling and results of academic appeals made by individual students	Last Action + 6 years	Review	<b>1980 c.58</b>
<b>21.10 Student Complaint Handling</b>				
21.10.1	Policies and procedures for handling student complaints.	Superseded	Archive	JISC
21.10.2	Handling of formal complaints made by individual students	Last Action + 6 years	Review	<b>1980 c.58</b>
21.10.3	Handling of complaints made by individual students where the formal complaints procedure is not initiated	Last action + 6 years	Destroy	JISC
<b>21.11 Course Administration</b>				
21.11.1	Timetabling of teaching and management of teaching space	Current Academic Year + 1 Year	Destroy	JISC
21.11.2	Class / tutorial lists	Current Academic Year + 1 Year	Destroy	
21.11.3	Schedules for submission, marking and return of coursework	Current Year	Destroy	
21.11.4	Records regarding the submission of coursework by individual students	Current Year + 6 year	Destroy	
21.11.5	Attendance of individual students	Current Year + 6 year	Destroy	
21.11.6	Organisation of work placements for students	End of placement + 6 years	Destroy	<b>1995 c.50</b>
21.11.7	Coursework submitted for assessment	Current semester + 1 semester	Destroy	Internal Guidelines
21.11.8	Programme Approval Boards	Scan into student record file	Destroy	



<b>21.12 Assessment Administration</b>				
21.12.1	Development and establishment of assessment and examination rules and procedures	Superseded + 10 years	Review	JISC
21.12.2	Selection and appointment of external examiners	End of appointment + 1 year	Destroy	
21.12.3	Liaison with external examiners on administrative matters	End of appointment + 1 year	Destroy	
21.12.4	Selection and appointment of examination invigilators	End of appointment + 1 year	Destroy	
21.12.5	Design and delivery of training for examination invigilators	End of appointment + 1 year	Destroy	
21.12.6	Control of examination papers and examination scripts	Current Academic Year + 1 year	Destroy	
21.12.7	Timetabling of examinations	Current Academic Year + 1 year	Destroy	
21.12.8	Organisation of examination facilities, including special arrangements for students with special needs	Current Academic Year + 1 year	Destroy	
21.12.9	Attendance of individual students at examinations, and the handling of reports of mitigating circumstances	Current Academic Year + 6 year	Destroy	
21.12.10	Collation of examination results and compilation of pass lists and individual notifications of results	Current Year + 6 year	Destroy	
21.12.11	Submission of assessed work by individual students and handling of reports of mitigating circumstances	Graduation + 3 years	Destroy	Internal Guidelines
21.12.12	Pass lists / Awards lists	Issue + 10 years	Archive	JISC
<b>21.13 Award Ceremony Administration</b>				
21.13.1	Organisation of award ceremonies	Completion of ceremony + 1 year	Destroy	JISC
21.13.2	Contracts arising from the organisation of award ceremonies	Completion of ceremony + 6 year	Destroy	Internal Guidelines
21.13.3	Production of award certificates	Completion of ceremony + 1 year	Destroy	JISC
21.13.4	Mailing of award certificates to students who do not attend ceremonies	Completion of ceremony + 6 year	Destroy	
<b>21.14 Student Liaison Management</b>				
21.14.1	Establishment and operation of staff-student liaison committees	Life of committee + 3 years	Review	JISC
21.14.2	Operation of staff-student liaison committees	Current Financial Year + 3 Years	Review	
21.14.3	Election and/or appointment of student representatives to committees	Completion of next election	Destroy	
21.14.4	Design, development and delivery of training for elected student representatives	Superseded + 1 year	Destroy	
21.14.5	Design and conduct of student surveys	Completion of survey + 1 years	Review	
21.14.6	Results of student surveys: individual responses	Completion of analysis of responses	Destroy	

21.14.7	Results of student surveys : summaries and analyses of responses	Completion of survey + 5 years	Archive	JISC
21.14.8	Design of, and overall responses to, student suggestion schemes	Closure of scheme + 5 years	Review	Internal Guidelines
21.14.9	Handling of suggestions from individual students	Last action + 1 year	Destroy	JISC

## 22. Student Support

The provision of services to support students throughout their relationship with Oxford Brookes University.

Activities 5.1–5.5 set out the framework for the overall management of all student support services. Activities 5.6–5.14 set out a framework for the management of individual student support services.

These services may be:

- managed and provided directly
- specified by Oxford Brookes University but managed and provided by a third party under contract
- managed and provided as a joint venture with other institutions
- managed and provided by the students' union.

This section concerns services which are provided free of charge or on a cost recovery basis.

- For services and facilities operated on a commercial basis, see section **33. Commercial Services**.
- For academic support, see section 2.11 Teaching – Taught Student Academic Support (Tutorial Support) or section 3.11 Research – Research Student Academic Supervision and Support.
- For the management of internal services provided to support students with their academic work, see section **16. Internal Services**.
- For the management of land, buildings and facilities associated with providing student support services, see section **14. Estate Management**.
- For the management of finance associated with providing student support services see section **9. Finance**.

	Type of Record	Retention Period	Action	Citation
<b>22.1</b>	<b>Student Support Service Strategy</b>			
22.1.1	Development and establishment of the institution's student support services strategy.	Superseded + 10 Years	Archive	Internal Guidelines
22.1.2	Development and establishment of the institution's student support services management policies.	Superseded + 10 Years	Archive	
22.1.3	Development of the institution's student support services management procedures.	Superseded + 5 Years	Review	JISC
<b>22.2</b>	<b>Student Support Service Proposal</b>			
22.2.1	Development and evaluation of a proposal to set up a student support service where a decision is made to proceed	Life of service	Archive	Internal Guidelines
22.2.2	Development and evaluation of a proposal to set up a student support service where a decision is made not to proceed	Last action + 1 year	Review	JISC
<b>22.3</b>	<b>Student Support Service Planning</b>			
22.3.1	Planning of a student support service	Current Financial Year + 5 Years	Review	JISC
<b>22.4</b>	<b>Student Support Service Performance Management</b>			
22.4.1	Performance indicators for a student support service	Superseded	Destroy	JISC
22.4.2	Data regarding / analyses of performance against plans	Current Financial Year + 1 year	Destroy	
22.4.3	Reports of service performance against plans	Current Financial Year + 5 Years	Archive	
22.4.4	Reports of the conduct and results of formal audits and reviews of a student support service, and responses to the results	Current Financial Year + 5 Years	Archive	

<b>22.5 Student Support Service Policy Development</b>				
22.5.1	Development and establishment of policies regarding the operation, management and development of a student support service	Superseded + 3 years	Review	JISC
22.5.2	Policies regarding the operation, management and development of a student support service	Superseded + 5 years	Archive	Internal Guidelines
<b>22.6 Student Support Service Procedures Development</b>				
22.6.1	Development of procedures for the operation, management and development of a student support service	Superseded + 3 years	Destroy	JISC
22.6.2	Procedures for the operation, management and development of a student support service	Superseded + 3 years	Review	Internal Guidelines
<b>22.7 Student Support Service Quality Management</b>				
22.7.1	Development and establishment of service standards for a student support service	Superseded + 1 year	Destroy	JISC
22.7.2	Data regarding / analyses of the quality of service delivered against established service standards	Current Financial Year + 1 year	Destroy	
22.7.3	Reports regarding service quality	Current Financial Year + 3 Years	Archive	
22.7.4	Conduct and results of independent reviews of service quality, and the responses to the results	Current Year + 5 Years	Archive	
<b>22.8 Student Support Service Promotion</b>				
22.8.1	Promotion of a student support service	Last action	Archive	Internal Guidelines
<b>22.9 Student Support Service Delivery</b>				
Retention requirements for records generated by individual student support services must be determined on a case by case basis, taking account of:				
<ul style="list-style-type: none"> <li>• the type of service being provided.</li> <li>• the legal and regulatory framework for providing particular types of services.</li> <li>• the need to manage personal data regarding individual students in accordance with the provisions of the Data Protection Act 1998.</li> </ul>				
22.9.1	Provision of Welfare/Advice Services to individual students.	Current Year + 6 Years	Destroy	<b>1980 c.58</b>
22.9.2	Student Counselling Services	Current Year + 2 Years	Destroy	JISC
22.9.3	Student Health Service	Medical Records – Permanent	NA	
22.9.4	Provision of Sports and Recreational facilities.	Current Year + 3 Years	Destroy	
22.9.5	Careers Advice	Duration of enrolment + 3 Years	Destroy	<b>1975 c.65; 1995 c.50</b>
22.9.6	Provision of Student Accommodation.	Current Year + 6 Years	Destroy	<b>1980 c.58</b>
22.9.7	Learning Support for Students with specific needs.	Current Year + 6 Years	Destroy	<b>1995 c.50</b>

22.9.8	Chaplaincy Services	While Current	Review	Internal Guidelines
22.9.9	Meetings of Staff /Student Bodies.	Current Year + 3 Years	Archive	JISC
<b>22.10 Student Support Service Customer Relations</b>				
22.10.1	Design and conduct of user / customer surveys for student support service	Completion of survey + 3 years	Review	JISC
22.10.2	Results of user / customer surveys: individual responses	Completion of analysis of responses	Destroy	
22.10.3	Results of student surveys summaries and analyses of responses	Completion of survey + 3 years	Archive	
22.10.4	Handling of user / customer complaints about a student support service	Last Action + 6 years	Review	<b>1980 c.58</b>

## 23. Alumni

The fostering and maintenance of relationships with alumni.

For contact with individual former students (eg for confirmation of awards), see section 21. **Student Administration**.

For fundraising activities targeted at alumni, see section 24. **Fundraising**

	Type of Record	Retention Period	Action	Citation
<b>23.1</b>	<b>Strategy</b>			
23.1.1	Development and establishment of the institution's alumni relations management policies.	Superseded + 5 Years	Archive	Internal Guidelines
<b>23.2</b>	<b>Alumni Data Administration</b>			
23.2.1	Personal data of individual alumni	While current	Review. Core data to be archived.	<b>1998 c.29; KCL Case Study</b>
23.2.2	Anonymous summary statistics	Current Year + 10 Years	Archive	JISC
<b>23.3</b>	<b>Alumni Communications</b>			
23.3.1	Design, planning and production of official Alumni communications	Issue of communication + 1 year	Destroy	JISC
23.3.2	Official Alumni communications	Issue + 1 year	Archive	
23.3.3	Enquiries from alumni and responses provided	Last action + 1 year	Review	Internal Guidelines
23.3.4	Unsolicited feedback from alumni, the internal handling of the feedback and the responses provided	Last action + 1 year	Review	
23.3.5	Design and conduct of alumni surveys	Completion of survey + 2 year	Review	JISC
23.3.6	Results of alumni surveys: individual responses	Completion of analysis of responses	Destroy paperwork	Internal Guidelines
23.3.7	Results of alumni surveys: summaries and analyses of responses	Completion of survey + 3 years	Archive	JISC
23.3.8	Complaints from alumni, the internal handling of these complaints and the responses provided	Last action + 6 years	Review	Internal Guidelines
23.3.9	Requests for contact details for alumni, action taken and the responses provided	Last action + 5 years	Destroy	
<b>23.4</b>	<b>Alumni Relations Events</b>			
23.4.1	Planning, administration and impact / results of institutional events for alumni	Completion of event + 3 years	Review	JISC
23.4.2	Organisation of institutional events for alumni	Completion of Event + 2 years	Review	
23.4.3	Promotional Material relating to institutional events for alumni	Completion of Event + 1 year	Archive	Internal Guidelines

## 24. Fundraising

The raising of revenue (additional to that provided by the main funding bodies) to support and develop the estate, activities and operations of Oxford Brookes University.

	Type of Record	Retention Period	Action	Citation
<b>24.1</b>	<b>Fundraising Strategy</b>			
24.1.1	Formulation of plans for the implementation of the institution's fundraising strategy.	Superseded + 5 Years	Review	JISC
<b>24.2</b>	<b>Fundraising Campaigns</b>			
24.2.2	Design, conduct and summary results of fundraising campaigns	Last action + 5 years	Archive	JISC
24.2.3	Individual responses to fundraising campaigns	Completion of analysis	Review	1998 c.29

## 25. Government Relations

The management of the overall relationship with government departments and agencies.

	Type of Record	Retention Period	Action	Citation
<b>25.1</b>	<b>Government Communications</b>			
25.1.1	Records containing information that institutions are legally obliged to provide to the funding Bodies	Current Year + 5 Years	Archive	<b>LSC</b>
25.1.2	Inspection Reports	Current Year + 5 Years	Archive	<b>OFSTED</b>
25.1.3	Requests for information from government bodies, the internal handling of those requests and responses provided	Last action + 1 year	Review	JISC
25.1.4	Formal responses to surveys and consultations carried out by government bodies	Completion of the response + 1 year	Archive	
25.1.5	Formal participation in government or public inquiries	Last action + 10 years	Review	
<b>25.2</b>	<b>HE Sector Legislation Development</b>			
25.2.1	Input to the preparation, development and implementation of legislation or regulation affecting the legal status, mandate or activities of Oxford Brookes University.	Last action + 5 years	Review	JISC
25.2.2	Input to the preparation, development and implementation of legislation or regulations affecting the wider higher education sector	Last action + 5 years	Review	



## 26. Higher Education Regulator Relations

The management of the overall relationship with higher education regulators including government departments, funding councils, inspectorates, standards bodies, research councils and professional bodies.

	Type of Record	Retention Period	Action	Citation
<b>26.1</b>	<b>Higher Education Regulator Communications</b>			
26.1.1	Requests for information from higher education regulators, the internal handling of these requests and the responses provided	Last action + 5 years	Destroy	Internal Guidelines
26.1.2	Formal responses to surveys and consultations carried out by higher education regulators	Completion of the response + 1 year	Archive	JISC
26.1.3	Participation in the conduct of formal reviews by higher education regulators, and formal responses to the results of such reviews	Last action + 5 years	Archive	
26.1.4	Minutes of meetings with higher education regulation bodies	Current Year + 5 years	Archive	Internal Guidelines

## 27. Higher Education Sector Relations

The management of relationships with other higher education institutions, other educational institutions, professional associations and learned bodies in the higher education sector.

Activities include:

establishing and maintaining membership of professional associations, learned bodies and other organisations.

participating in the activities of these organisations.

liaising and collaborating with other institutions on projects of mutual interest.

	Type of Record	Retention Period	Action	Citation
<b>27.1</b>	<b>Strategy</b>			
27.1.1	Development and establishment of the institution's sector relations strategy.	Superseded + 5 Years	Archive	Internal Guidelines
27.1.2	Development and establishment of the institution's sector relations management policies.	Superseded + 5 Years	Archive	
<b>27.2</b>	<b>Higher Education Sector Communications</b>			
27.2.1	General communications with other higher education institutions, other educational institutions, professional associations and learned bodies	Current Year + 5 Years	Review	JISC
27.2.2	Production of publications specifically intended for the sector	Publication + 1 year	Destroy	
27.2.3	Publications	Superseded+ 1 year	Archive	
27.2.3	General enquiries from institutions and other bodies in the sector, the internal handling of those enquiries and the responses given	Last action + 1 year	Destroy	
<b>27.3</b>	<b>Higher Education Sector Relations Events</b>			
27.3.1	Planning and impact / results of events for the sector	Completion of event + 3 years	Destroy	JISC
27.3.2	Organisation and administration of events for the sector	Completion of event + 1 year	Destroy	
<b>27.4</b>	<b>Higher Education Sector Organisations Membership Administration</b>			
27.4.1	Establishment and maintenance of corporate or individual (institutionally funded) membership of professional organisations and other organisations in the sector	Renewal / end of membership + 1 year	Destroy	JISC
27.4.2	Co-operative Partnerships	End of Partnership + 6 Years		<b>1980 c.58</b>
27.3.2	Official responses to surveys and consultations conducted by professional and other organisations in the sector	Completion of the response + 1 year	Archive	JISC
27.3.3	Official representation on committees of professional and other organisations in the sector	End of Membership	Destroy	

## 28. Public Relations

The raising and maintaining of the public profile of Oxford Brookes University and managing its relationships with groups or individual members of the public.

	Type of Record	Retention Period	Action	Citation
<b>28.1</b>	<b>Policy</b>			
28.1.1	Development and establishment of the institution's public relations policies.	Superseded + 5 Years	Archive	Internal Guidelines
<b>28.2</b>	<b>Public Communications</b>			
28.2.1	Enquiries from members of the public and the responses provided	Last action + 1 year	Review	Internal Guidelines
28.2.2	Unsolicited feedback from members of the public, the internal handling of this feedback and the responses provided	Last action + 1 year	Review	
28.2.3	Design and conduct of surveys to assess public attitudes towards Oxford Brookes University	Completion of survey + 3 years	Review	JISC
28.2.4	Results of public surveys: individual responses	Completion of analysis of survey responses	Destroy	
28.2.5	Results of public surveys: summaries and analyses of responses	Completion of survey + 3 years	Archive	
28.2.6	Complaints from members of the public, the internal handling of those complaints and the responses provided	Last action + 1 year	Review	Internal Guidelines
<b>28.3</b>	<b>Public Relations Events</b>			
28.3.1	Planning and impact / results of public events	Completion of event + 3 years	Destroy	JISC
28.3.2	Organisation and administration of public events	Completion of event + 1 year	Destroy	
28.3.4	Contracts arising from the organisation of public events	Completion of event + 6 years	Destroy	Internal Guidelines
28.3.4	Promotional materials relating to public events	Completion of event + 1 year	Archive	
<b>28.4</b>	<b>Corporate Identity and Brand</b>			
28.4.1	Design of corporate identity marks (logos, etc) and guides for official use of corporate identity marks	Superseded	Archive	JISC
28.4.2	Development of corporate style	Superseded	Destroy	
<b>28.5</b>	<b>Sponsorship (includes sporting events)</b>			
28.5.1	Negotiation of Oxford Brookes University's corporate sponsorship of public events	End of sponsor relationship + 6 years	Review	JISC
<b>28.6</b>	<b>Donations</b>			
28.6.1	Management of relationships with donors (other than in response to fundraising campaigns)	Duration of relationship + 6 years	Review	1980 c.58
28.6.2	Process of making donations to third parties	Last action + 6 years	Review	

<b>28.7 Honorary Awards</b>				
28.7.3	Nominations for honorary awards and decisions made on individual nominations	Current Financial Year + 10 Years	Archive	JISC
28.7.2	Organisation of honorary awards ceremonies	Completion of ceremony + 1 year	Destroy	

## 29. Media Relations

The management of Oxford Brookes University's relationships with the media.

	Type of Record	Retention Period	Action	Citation
<b>29.1</b>	<b>Media Communications</b>			
29.1.1	Media contacts	Superseded	Destroy	JISC
29.1.2	Planning and organisation of media briefings	Last action + 1 year	Destroy	
29.1.3	Transcripts of media briefings	Last action + 5 years	Archive	
29.1.4	Planning and organisation of media interviews	Last action + 1 year	Destroy	
29.1.5	Transcripts of media interviews	Last action + 1 year	Archive	
29.1.6	Press releases	Issue + 5 years	Archive	
29.1.7	Media enquiries, the handling of these enquiries and responses provided	Last action + 5 years	Destroy	
29.1.8	Monitoring and analysis of media coverage of Oxford Brookes University	Creation + 5 years	Archive	
29.1.9	Design and Management of www sites	Creation + 6 Years	review	

## 30. Community Relations

The establishment, maintenance and fostering of relationships with:

the local community (eg local government and charities)  
the regional community.  
the business community.

For formal dialogue with the local community, the region and the business community (eg through the Board of Governors), see section **1. Governance**.

	Type of Record	Retention Period	Action	Citation
<b>30.1</b>	<b>Community Relations Strategy</b>			
30.1.1	Development and establishment of the institution's community relations strategy.	Superseded + 5 Years	Archive	Internal Guidelines
30.1.2	Development and establishment of the institution's community relations management policies.	Superseded + 5 Years	Archive	
<b>30.2</b>	<b>Community Communications</b>			
30.2.1	Enquiries from members of the local, regional or business community and the responses provided	Last action + 2 years	Review	<b>2000 Freedom of Information Act</b>
30.2.2	Unsolicited feedback from members of the local, regional or business community, the internal handling of this feedback and the responses provided	Last action + 1 year	Review	Internal Guidelines
30.2.3	Design and conduct of surveys to assess attitudes towards Oxford Brookes University in the local, regional or business community	Completion of survey + 3 years	Review	JISC
30.2.3	Results of community surveys: individual responses	Completion of analysis of survey responses	Destroy	
20.2.4	Results of community surveys: summaries and analyses of responses	Completion of survey + 3 years	Archive	
30.2.6	Complaints from members of the local, regional or business community, the internal handling of those complaints and the responses provided	Last action + 1 year	Review	JISC
<b>30.3</b>	<b>Community Relations Events</b>			
30.3.1	Planning and impact / results of events for the local, regional or business community	Completion of event + 3 years	Destroy	JISC
30.3.2	Records of the organisation and administration of events for the local, regional or business community	Completion of event + 1 year	Destroy	
30.3.3	Promotional materials relating to Community Events	Completion of event + 1 year	Archive	Internal Guidelines

## 31. Publishing

The production of publications, in any medium and format, for the distribution internally or externally.

	Type of Record	Retention Period	Action	Citation
<b>31.1</b>	<b>Publication Management</b>			
31.1.1	Design, commissioning, editing and production of a publication	Issue of publication + 1 year	Destroy	JISC
31.1.2	Development of marketing plans for publications	Life of publication	Destroy	
31.1.3	Publications produced by Oxford Brookes University	Life of Publication	Archive	Internal Guidelines
31.1.4	Issue of ISBN numbers	Issue of Publication + 5 years	Archive	

## 32. Retail Trading

The management and operation of retail outlets directly by Oxford Brookes University.

For the overall management of all retail outlets and the management of any individual retail outlet, see section **1. Governance**.

For the management of land, buildings and facilities associated with retail trading see section **14. Estate Management**.

For the financial management of retail trading see section **9. Finance**.

	Type of Record	Retention Period	Action	Citation
<b>32.1</b>	<b>Retail Outlet Promotion</b>			
32.1.1	The development of promotional campaigns and materials for a retail outlet	Superseded + 1 year	Destroy	JISC
32.1.2	Promotional materials	Superseded	Review	
<b>32.2</b>	<b>Retail Outlet Operation</b>			
	In addition to the records listed in subsequent sections, retention requirements for records of all retail sales should be determined on a case by case basis, taking into account: the type of service the legal and regulatory framework for sales of particular products. The need to manage personal data of customers in line with the Data Protection Act 1998.			
32.2.1	Retail sales transactions	Current Financial Year + 6 years	Destroy	<b>1980 c.58;</b> <b>HMCE 700/21</b>
<b>32.3</b>	<b>Retail Outlet Customer Relations</b>			
32.3.1	Design and conduct of customer surveys	Completion of survey + 3 years	Review	JISC
32.3.2	Results of customer surveys: individual responses	Completion of analysis of survey responses	Destroy	
32.3.3	Results of customer surveys: summaries and analyses of responses	Completion of survey + 3 years	Archive	
32.3.4	Unsolicited customer feedback on the retail outlet, the internal handling of the feedback and the responses provided	Last action + 3 years	Destroy	
32.3.5	Customer complaints regarding the service, the internal handling of the complaints and the responses provided	Last action + 6 years	Destroy	



### 33. Commercial Services

The management of services provided by Oxford Brookes University to students, staff, the local community, the general public or businesses on a commercial basis to generate income.

	Type of Record	Retention Period	Action	Citation
<b>33.1 Commercial Service Quality Management</b>				
33.1.1	Development and establishment of service standards for a commercial service	Superseded + 3 years	Destroy	JISC
33.1.2	Data regarding / analyses of the quality of service delivered against the established service standards	Current Financial Year + 1 year	Destroy	
33.1.3	Reports regarding service quality	Current Financial Year + 3 Years	Archive	
33.1.4	Conduct and results of independent reviews of service quality, and responses to the results	Current Financial Year + 5 Years	Archive	
<b>33.2 Commercial Service Promotion</b>				
33.2.1	Development and assessment of promotional campaigns and materials for a commercial service	Superseded + 1 year	Destroy	JISC
33.2.2	Promotional materials	Superseded	Archive	Internal Guidelines
<b>33.3 Commercial Service Delivery</b>				
<p>In addition to the records below, retention requirements for records of individual services should be determined on a case by case basis, taking into consideration:</p> <ul style="list-style-type: none"> <li>the type of service</li> <li>the legal and regulatory framework for particular services.</li> <li>The need to manage personal data in line with the Data Protection Act 1998.</li> </ul>				
33.3.1	Service proposals for individual customers where the proposal is accepted	End of contract + 6 years	Review	1980 c.58
33.3.2	Service proposals for individual customers where the proposal is not accepted	Rejection of proposal + 5 years	Destroy	JISC
33.3.3	Service agreements / contracts with customers	End of contract + 6 years	Review	1980 c.58
<b>33.4 Commercial Service Customer Relations</b>				
33.4.1	Design and conduct of customer surveys	Completion of survey + 3 years	Review	JISC
33.4.2	Results of customer surveys: individual responses	Completion of analysis of survey responses	Destroy	
33.4.3	Results of customer surveys: summaries and analyses of responses	Completion of survey + 3 years	Archive	
33.4.4	Unsolicited customer feedback on the service, the internal handling of the feedback and the responses provided	Last action + 3 years	Destroy	
33.4.5	Customer complaints about the service, the internal handling of the complaint and the response provided	Last action + 6 years	Destroy	

## 34. Related Companies

Related companies are those over which Oxford Brookes University has control or exercises a substantial degree of influence. They might include companies formed to:

- provide commercial services.
- exploit the commercial potential of research and intellectual property assets.
- conduct joint ventures.

Once established, related companies are independent legal entities and therefore the management of their own records is outside the scope of this schedule. Any enquiries relating to such records should be referred to the companies.

	Type of Record	Retention Period	Action	Citation
<b>34.1</b>	<b>Related Company Proposal</b>			
34.1.1	Development and evaluation of a proposal to form a related company where a decision is made to proceed	Life of Company + 10 years	Review	JISC
34.1.2	Development and evaluation of a proposal to form a related company where a decision is made not to proceed	Last action + 6 years	Review	
<b>34.2</b>	<b>Related Company Formation</b>			
34.2.1	Formation of a related company	Life of Company + 10 years	Archive	JISC
<b>34.3</b>	<b>Related Company Management</b>			
34.3.1	Action to ensure that a related company is conducting business in line with established agreements and company law	Current Financial Year + 6 Years	Review	JISC
<b>34.4</b>	<b>Related Company Review</b>			
34.4.1	Conduct and results of regular reviews of a related company's performance against plans, including budgets	Current Financial Year + 6 Years	Destroy	JISC
34.4.2	Reports of the results of internal and external audits of a related company	Current Financial Year + 6 Years	Destroy	
34.4.3	Action taken to ensure that a related company has proper operating procedures in place, and that they are being implemented	Current Financial Year + 6 Years	Destroy	
34.4.4	Annual report and accounts of a related company	Life of Company + 10 years	Archive	
<b>34.5</b>	<b>Related Company Disposal</b>			
34.5.1	Disposal of a related company (or Oxford Brookes University's interest in it) by wind-up or sale	Disposal + 10 years	Archive	JISC

## 35. Students Union Relations

The management of the relationship between Oxford Brookes University and the Students Union to fulfil responsibilities under the Education Act 1994.

	Type of Record	Retention Period	Action	Citation
<b>35.1</b>	<b>Students Union: Constitution Review and Approval</b>			
35.1.1	Constitution of the Students Union	Superseded	Archive	Internal Guidelines
35.1.2	The review of the constitution of the Students Union, other than formal review and approval by Board of Governors or Senior Management Team (formal review and approval of the constitution of the Students Union will be recorded in the minutes of appropriate meetings and copies of the constitution of the Students Union constitutions will be retained with the papers of those meetings)	Issue of revised constitution + 1 year	Destroy	<b>1994 c.30</b>
<b>35.2</b>	<b>Students Union: Funding</b>			
35.2.1	Negotiating and agreement of funding to be provided by Oxford Brookes University to its Students Union	Current Financial Year + 1 year	Review	JISC
<b>35.3</b>	<b>Students Union: Financial Monitoring</b>			
35.3.1	Review of the budgets of the Students Union, other than formal review and approval by Board of Governors or Senior Management Team (formal review and approval of the budgets of the Students Union will be recorded in the minutes of appropriate meetings and copies of the budgets of the Students Union will be retained with the papers of those meetings)	Current Financial Year + 1 year	Destroy	
35.3.2	Monitoring of the financial affairs of the Students Union, other than through formal monitoring reports by Board of Governors or Senior Management Team (formal review and approval of the financial reports of the Students Union will be recorded in the minutes of appropriate meetings and copies of the financial reports of the Students Union will be retained with the papers of those meetings)	Current Financial Year + 1 year	Destroy	<b>1994 c.30</b>
<b>35.4</b>	<b>Students Union: Operations Monitoring</b>			
35.4.1	Monitoring of elections to major offices in the Students Union (formal reports on the conduct of the Students Union elections will be retained in the papers of the Board of Governors or Senior Management Team)	Current Financial Year + 2 years	Destroy	<b>1994 c.30</b>

35.4.2	Monitoring of the affiliations of the Students Union (copies of notices of decisions to affiliate by the Students Union and formal reports of affiliations, will be retained with the papers of the Board of Governors or Senior Management Team)	Current Financial Year + 2 years	Destroy	
35.4.3	Monitoring of complaints against the Students Union, and the handling of these complaints by the Students Union	Last action + 6 years	Destroy	Internal Guidelines
35.4.4	Investigation and reporting of complaints against the Students Union by independent investigators appointed by the Board of Governors or Senior Management Team	Settlement of complaint + 6 years	Destroy	

## Citations

### General

JISC	Parker, Elizabeth – Emmerson Consulting Ltd for a TFPL Ltd and the JISC, <i>Study of the Lifecycle, Part 2: HEI Records Retention Schedule</i>
KCL	Cowling, Clare – the JISC, What is a Student Record? A Case Study by King's College London

### Acts of the UK Parliament

1957 c.31	Occupiers Liability Act 1957
1969 c.57	Employers' Liability (Compulsory Insurance) Act 1969
1970 c.9	Taxes Management Act 1970
1970 c.41	Equal Pay Act 1970
1974 c.37	Health and Safety at Work etc Act 1974
1975 c.65	Sex Discrimination Act 1975
1976 c.74	Race Relations Act 1976
1980 c.58	Limitation Act 1980
1992 c.4	Social Security Contributions and Benefits Act 1992
1992 c.13	Further and Higher Education Act 1992
1994 c.23	Value Added Tax Act 1994
1994 c.30	Education Act 1994
1995 c.50	Disability Discrimination Act 1995
1998 c.29	Data Protection Act 1998

### Statutory Instruments of the UK Parliament

SI 1977/500	The Safety Representatives and Safety Committees Regulations 1977
SI 1979/628	Social Security (Claims and Payments) Regulations 1979
SI 1981/917	The Health and Safety (First Aid) Regulations 1981
SI 1982/894	The Statutory Sick Pay (General) Regulations 1982
SI 1985/967	Social Security (Industrial Injuries) (Prescribed Diseases) Regulations 1985
SI 1985/1960	The Statutory Maternity Pay (General) Regulations 1986
SI 1986/1960	The Statutory Maternity Pay (General) Regulations 1986 (Amended by SI 729 2005)
SI 1989/635	The Electricity at Work Regulations 1989
SI 1989/682	The Health and Safety Information for Employees Regulations 1989
SI 1989/1790	The Noise at Work Regulations 1989
SI 1991/2680	The Public Works Contracts Regulations 1991
SI 1991/2839	Environmental Protection (Duty of Care) Regulations 1991
SI 1992/2792	The Health and Safety (Display Screen Equipment) Regulations 1992
SI 1992/2793	The Manual Handling Operations Regulations 1992
SI 1992/2932	The Provision and Use of Work Equipment Regulations 1992
SI 1992/2966	The Personal Protective Equipment at Work Regulations 1992
SI 1993/744	The Income Tax (Employments) Regulations 1993
SI 1993/3228	The Public Services Contracts Regulations 1993
SI 1995/201	The Public Supply Contracts Regulations 1995
SI 1995/3163	The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995
SI 1996/341	The Health and Safety (Safety Signs and Signals) Regulations 1996

SI 1996/972	The Special Waste Regulations 1996
SI 1996/1513	The Health and Safety (Consultation with Employees) Regulations 1996
SI 1997/1840	The Fire Precautions (Workplace) Regulations 1997
SI 1998/1833	The Working Time Regulations 1998
SI 1998/2306	The Provision and Use of Work Equipment Regulations 1998
SI 1998/2307	The Lifting Operations and Lifting Equipment Regulations 1998
SI 1998/2573	The Employers' Liability (Compulsory Insurance) Regulations 1998
SI 1999/584	The National Minimum Wage Regulations 1998
SI 1999/3242	The Management of Health and Safety at Work Regulations 1999
SI 1999/3312	The Maternity and Paternal Leave etc Regulations 1999
SI 2002/2675	The Control of Asbestos at Work Regulations 2002
SI 2002/2676	The Control of Lead at Work Regulations 2002
SI 2002/2677	The Control of Substances Hazardous to Health Regulations 2002
SI 2005/729	The Statutory Maternity Pay (General) (Amendment) Regulations 2005

## Other Provisions

HMCE 700/21	HM Customs and Excise Notice 700/21: Keeping [VAT] Records and Accounts
IR CA30	Statutory Sick Pay Manual for Employers CA30
CIPD	Chartered Institute of Personnel and Development recommendation
RIDDOR	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995
IRR99	Ionising Radiations Regulations 1999

With acknowledgements to JISC