

RECORDS MANAGEMENT GUIDANCE & RETENTION SCHEDULE

Purpose

This document is to be used as guidance for the retention of all records across the organisation. Included is a retention schedule in two formats, the first is for quick reference and the second is more in depth. A record retention schedule will normally be organised by the type of records followed by a given time period after which the record can be destroyed or needs to be transferred to an archive.

Retention schedules can be very detailed and difficult to work with, which is why this document is in two sections;

1. A simple time based schedule which starts with a time period and then gives examples of the type of records that need to be kept for that time period.
2. A traditional detailed schedule listing the type of record granularly followed by the recommended time period (linked externally)

The categories given are broad by design in order to keep the number of choices manageable. There is a rationale detailing why a particular record type should be kept such as an Act or statutory instrument which is shown in each case.

Scope

All information assets generated or processed by Falmouth University as the designated **Data Controller** are governed by this policy without exception and includes those created prior to the publishing of this policy. This will include information in any format, including but not limited to;

- Electronic information, i.e. data stored within a digital storage medium.
- Paper information, i.e. records, notes, minutes, etc.
- Information shared orally or visually, i.e. telephone or video conference meetings.

Where Falmouth University works with a 3rd party in the capacity as a **Data Processor**, the **Data Controller** will be responsible for setting the classification system or formally adopting this policy for that specific purpose.

Responsibility

Falmouth University is responsible for assuring the adequacy of the data storage and processing facilities are available to enable compliance with the Information Handling Policy. Individuals within Falmouth University have a personal responsibility to ensure the correct management and protection of information, and may be personally liable for any breaches in information security that arise from a failure to take appropriate measures to do so or in the case of gross misconduct.

Key Questions

What category should I use?

If you think your record could fit into more than one category, use the longer time period. If you are unsure which category to use contact the Information Office for guidance.

When does the time period start?

Paper files start from the date the file is closed. If this is not recorded on the cover or elsewhere in the file, use the date of the last piece of paper put on the file.

Electronic material held within a folder from the date of the last item added to the folder.

Data held in a database should be purged each study block when it has reached end of life. A report can be constructed to assist with this and should be logged.

Contacts

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Section 1: Time Based Retention Schedule

Time Period	Type of Record	Rationale
1 Year	Exam Scripts	Only required until appeals process is concluded.
2 Years	Operational records	Operational records are records that you need to complete your daily tasks. Once a task is complete you will generally not need them. Two years allows you to keep the current and previous year for reference. This category includes duplicates of master records that you are using for information only when the original is being kept elsewhere.
2 Years	Controlled waste records	Statutory instrument 1991/2839, Environmental Protection (Duty of Care) Regulations 1991, the 2

		years run from the transfer of the controlled waste
3 Years	Special waste records	Statutory instrument 1996/972, The Special Waste Regulations 1996
3 Years or 6 years	Accident reports	Unless illness could develop in the future. 3 years if a personal injury claim or otherwise 6 years from the date of the last entry (or, if the accident involves a child/ young adult, then time, 3 or 6 years depending on the nature of the claim, runs from their 18 th birthday). (See below for accidents involving chemicals or asbestos)
5 Years	Student registration records including Identification Checks	JISC Guidance
6 Years	Student admission records	JISC Guidance
Last Action on case + 6 years	Student Disciplinary Records	JISC Guidance Limitation Act 1980
7 Years	Financial Records	Taxes Management Act 1970 Limitation Act 1980 Value Added Tax Act 1994 HMCE 700/21, HM Customs and Excise Notice 700/21: Keeping [VAT] records and accounts
6 Years	Contractual Records (from the time the contract has ended)	Limitation Act 1980 s6 Statutory Instrument 1991,2680, The Public Works Contracts Regulations 1991 Statutory Instrument 1993/2680, The Public Services Contracts Regulations 1993 Statutory Instrument 1995/201, The

		Public Supply Contracts Regulations 1993
6 years	Non-core student records (from the time the student has left)	Limitation Act 1980
6 years	Employee records that do not need to be kept their lifetime (from the time the employee has left)	Limitation Act 1980
6+ years	Core student records, including programme and course details, transcripts and awards.	Limitation Act 1980 Some records may be retained for longer where this is in the interest of the University for historical or research purposes
7 Years	Audit Records	Limitation Act 1980
6 Years	Legal cases and actions	Limitation Act 1980
10 Years	Strategy Records (from the time the strategy is implemented)	Strategy and planning cycles can run for 5 years between reviews therefore this allows previous records to be available during the next review.
10 Years	Planning Records (from the time the strategy is implemented)	As Strategy Records
10 Years	Records relating to the development of policies and procedures (from the time these are finalised)	JISC guidance
10 Years	Records relating to the development and review of programmes and courses	JISC guidance
10 Years	Records relating to research projects	JISC guidance
12 Years	Legal advice including setting up of contracts	Limitation Act 1980
40 Years	Accident records where long term illness could develop	HSE Guidance
40 Years	Installation, maintenance and decommissioning of safety critical or hazardous operations	Statutory Instrument 1998/2306, The Provision and Use of Work Equipment Regulations 1998
40 Years	Employee health and sickness records	HSE Guidance
40 Years	Air monitoring records	Statutory Instrument 2002/2675, The Control of Asbestos at Work Regulations 2002
40 Years	Asbestos Certificates	Statutory Instrument 2002/2676, The Control of Lead at Work Regulations 2002
40 Years	Investigation of accidents, dangerous occurrences and outbreaks of notifiable diseases.	Statutory Instrument 2002/2676, The Control of Lead at Work Regulations 2002

		Statutory Instrument 2002/2677, The Control of substances Hazardous to Health Regulations 2002
75 Years	Records relating to an employee that need to be kept for their life time e.g. pensions	Limitation Act 1980
Permanent	Committee minutes and papers	These records show the history of the University or are important enough to be kept forever
Permanent	Policies	These records show the history of the University or are important enough to be kept forever
Permanent	Deeds, titles, other ownership of property and/or land records until the land or property is no longer owned by the School	These records show the history of the University or are important enough to be kept forever
Permanent	Final accounts	These records show the history of the University or are important enough to be kept forever
Permanent	Final reports of research projects (and perhaps associated source records)	These records show the history of the University or are important enough to be kept forever
Permanent	Core alumni records	These records show the history of the University or are important enough to be kept forever
Permanent	Selected personnel records – academic staff above Reader level and senior administrative staff	These records show the history of the University or are important enough to be kept forever
Permanent	Official FU publications	These records show the history of the University or are important enough to be kept forever
Permanent	Essays and other works held in plagiarism detection software	Plagiarism detection software works by comparing previous student

		work to current, so needs to be kept permanently
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Section 2: Traditional Record Retention Schedule

Falmouth University has formally adopted the JISC Higher Education Business Classification Scheme and Records Retention Schedule detailed at the following link;

<https://www.jisc.ac.uk/guides/records-retentions-management/academic-administration>

A direct link to the records retention schedule can be accessed at the following link;

<http://repository.jisc.ac.uk/7499/1/records-retention-management-spreadsheet.xlsx>

Version Number	Author	Purpose/Change	Date
0-1	Ben Bull, IG Manager	Initial Draft	11/06/2018
0-2	Julian Coia, Snr IG Officer	Read through, check against statutes	13/06/2018
0-3	Ben Bull, IG Manager	Formatting	18/06/2018
0-4	Vicky Gosling, Head of Digital Experience and Information Services	Review with minor amendments	30/08/2018
1-0	IT Group	Approved	05/09/2018
1-1	Ben Bull, IG Manager	Updating JISC Records Retention Links	18/02/2020