



University of Sunderland University Retention Schedule.

Statement of Intent

This Schedule is issued by Business Assurance and forms an integral part of the University of Sunderland's Records Management Policy. It is designed to provide advice and guidance to staff across the institution on minimum retention periods for various classes of records. Faculties and Services are encouraged to follow the recommendations in this document which have been formulated in the context of existing University policies, procedures and guidance notes, national legislation and sector-wide best practice standards.

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Introduction and Guidance Notes

The recommendations in this Schedule apply equally to records created, received and maintained in hard copy and electronically.

This Schedule sets out the recommended periods for which the University's records should be retained and details of what should be done with those records once their Retention Periods have elapsed. Please note that the recommendations within this Schedule apply to the University of Sunderland only and do not apply to any other company wholly or partially owned by the University of Sunderland. Each wholly or partially owned subsidiary company is a separate legal entity and as such holds responsibility for its own records and information.

University records may be broadly divided into three categories:

1. Master Records

These are definitive copies of records (the definition of which can be found in the Records Management Policy) held by the Record Owner. The Records Owner is either the originator of the Master Record or the current member of staff who is formally responsible for the Master Record as part of their duties. All retention periods recommended in this schedule relate solely to Master Records.

2. Duplicate Records

These are duplicates of Master Records (for example multiple sets of minutes or copies of correspondence in possession of staff other than the Record Owner). It is recommended that Duplicate Records should be kept for reference only, and for no longer than the retention period of the Master Records, and then destroyed.

3. Transitory Records

These are records that have no significant on-going value after they have served their primary purpose. Some examples of Transitory Records are: draft documents and working materials which do not demonstrate significant steps in the development of a final version; documents containing requests for information which have no further value after the information is provided or received; items received only for information from elsewhere in the University, often as part of a distribution list; items received only for information from external organisations. It is recommended that Transitory Records should be destroyed in the normal course of business when no longer required.

Application of the recommendations in this Schedule will give the University confidence that they are managing their records in compliance with national legislation and sector-wide standards. Efficient records management also enables better everyday working environments for staff.

The Schedule suggests recommended Retention Periods based where applicable on relevant legislative requirements. Staff; particularly within those faculties with programmes accredited by PSRBs are encouraged to consider if the standard retention period is sufficient to meet the requirements of the accrediting body and where it is found that longer retention periods are required to make local arrangements to ensure this requirement is met.

The following guidance notes are designed to assist users of this Schedule.

1. Subject

This column describes the type or 'class' of records involved and applies equally to materials held in hard copy and electronically.

2. Retention Period

This column sets out the recommended length of time for which the records should be kept within the Faculties and Services of the University of Sunderland. The retention period is often expressed as starting point plus number of additional years to be kept. It is important to note that retention periods in this document are the total recommended period of time that the records should be kept for. A decision should be made at a local level to determine at what point during the retention period the record is moved from on site archives to off-site archives to ensure effective management of internal storage space. For information on how to send records off site please read the off-site storage procedure.

3. Action at end of retention period

There are two courses of action which can be taken at the end of a retention period.

- a. Review

The record set which has reached the end of its retention period may be reviewed by a qualified person, in most instances the Record Owner to determine if the record series is required to be kept for an extended period.

- b. Destruction

Records that can be destroyed either without the requirement of a review or upon completion of a review as above should be destroyed. Records should be destroyed in line with the requirements of the document classification from the Data Classification Policy based on the sensitivity of the information they contain. When an entire archive box is to be destroyed please destroy whole box in line with the requirements of the most sensitive documents it contains.

Further information and guidance on the implementation of the Schedule and on other aspects of records management is available from Business Assurance (recman@sunderland.ac.uk) or your local Information Champion.

Section 1 – Governance and Strategy

	Subject	Retention Period	Notes
1.1	Official Publications		
1.1.1	Official University publications, including the instruments and article of government, annual reports, Prospectuses and formal publications for students.	Single Copy to retained in perpetuity	
1.1.2	Records detailing the design, commissioning, editing and production of an official publication listed in 1.1.1	Issue of publication + 3 years	Destroy upon retention period expiration

	Subject	Retention Period	Notes
1.2	Committees, Boards, Syndicates, Working Groups, Etc. (Excluding committees dealing with individual student cases and Examination Boards)		
1.2.1	Membership and appointment records	End of an individual's tenure + 6 years	Destroy upon retention period expiration
1.2.2	Ballot papers for elections	Completion of election + 3 Months	Destroy upon retention period expiration
1.2.3	Registers of Interests	End of and Individuals tenure + 6 years	Destroy upon retention period expiration
1.2.4	Agendas, minutes and papers for bodies listed in instruments and articles of government, major University committees, major faculty level committees and major committees within individual subsidiary companies.	Retained in perpetuity	
1.2.5	Agendas, minutes and papers for all other committees and working groups	End of current academic year + 5 years	Initiate review process prior to decision to destroy
1.2.6	General working and organisational papers relating to committee business	End of current year + 5 years	Destroy with the exception of very significant committees. For very significant committees initiate review process.

	Subject	Retention Period	Notes
1.3	Strategies, Policies and Procedures (Many of these records will be held as part of Committee papers and minutes, however in these circumstances the records held in this section will be considered the master copy and retained as such.)		
1.3.1	Final major strategy documents	Until superseded by new strategy + 5 years	Initiate review process prior to decision to destroy
1.3.2	Working papers used in developing and updating major strategies	Until superseded by new strategy + 5 years	Destroy upon retention period expiration
1.3.3	Final plans for implementing major strategies	Until superseded by new plan + 5 years	Destroy upon retention period expiration
1.3.4	Working papers used in developing and updating plans for implementing major strategies (e.g. analyses, management information reports, benchmarking exercises and performance monitoring)	Until superseded by new plan + 5 years	Destroy upon retention period expiration
1.3.5	Final policy documents	Until superseded by new policy + 5 years	Initiate review process prior to decision to destroy
1.3.6	Working papers used in developing and updating policies	Until superseded by new policy + 5 years	Destroy upon retention period expiration
1.3.7	Final Procedures and Guidance notes	Until superseded by new procedure / guidance note + 5 years	Initiate review process prior to decision to destroy
1.3.8	Working papers used in developing and updating procedures and guidance notes	Until superseded by new procedure / guidance note + 5 years	Destroy upon retention period expiration

	Subject	Retention Period	Notes
1.4	Government and HEFCE regulations		
1.4.1	General communications with governmental or parliamentary bodies or HEFCE (including enquiries and responses provided)	While necessary for reference and future planning purposes (as a general guide: End of current academic year + 6 years)	Destroy upon retention period expiration
1.4.2	Formal responses to government or parliamentary or HEFCE surveys and consultations	Submission of response + 5 years	Initiate review process prior to decision to destroy
1.4.3	Records of the University's formal participation in governmental or parliamentary or public inquiries	Completion of inquiry + 10 years	Initiate review process prior to decision to destroy

	Subject	Retention Period	Notes
1.5	Higher education sector relations		
	Records documenting the University's membership of sector-wide bodies (e.g. UUK, AHUA, BUFDG etc)	Until superseded by renewed membership records	Destroy upon retention period expiration
1.5.2	Working papers documenting the University's involvement with sector-wide bodies	End of current academic year + 5 years	Destroy upon retention period expiration
1.5.3	Formal responses to surveys and consultations run by sector-wide bodies	While necessary for reference and future planning purposes (as a general guide: Submission of response + 6 years)	Destroy upon retention period expiration

	Subject	Retention Period	Notes
1.6	Fraud, Whistleblowing and Compliance		
1.6.1	Fraud and whistleblowing case files	Last action on case + 6 years	Destroy upon retention period expiration
1.6.2	Records regarding the upkeep of the University's notifications under the Data Protection Act 1998	End of current academic year + 6 years	Destroy upon retention period expiration
1.6.3	Requests for personal information under the Data Protection Act 1998	Last action on request + 6 years	Destroy upon retention period expiration
1.6.4	Freedom of Information Publication Scheme	Until superseded by new scheme + 5 years	Destroy upon retention period expiration
1.6.5	Requests for information under the Freedom of Information Act 2000 (Including requests made under the Environmental Information Regulations 2004)	Last action on request + 6 years	Destroy upon retention period expiration
1.6.6	Records retention schedules (including locally produced schedules)	Until superseded by new documentation + 1 year	Initiate review process prior to decision to destroy
1.6.7	Records detailing the outcomes of archival appraisals	Completion of appraisal process + 10 years	Destroy upon retention period expiration
1.6.8	Records regarding the upkeep of the University's copyright licences	End of current academic year + 6 years	Destroy upon retention period expiration
1.6.9	Records concerning applications to copy outside the standard terms of licence	Period for which permission is granted + 6 years	Destroy upon retention period expiration
1.6.10	Records of inspection by copyright holders	Inspection + 1 year	Destroy upon retention period expiration

	Subject	Retention Period	Notes
1.7	Risk management and internal audit		
1.7.1	Strategic risk register and assurance frameworks	Until superseded by updated register + 5 years	Destroy upon retention period expiration
1.7.2	Working papers on the identification, assessment and management of risks to the University	Until risk no longer applicable + 3 years	Destroy upon retention period expiration
1.7.3	Disaster response and recovery plans, business continuity plans	Until superseded by new plan + 5 years	Destroy upon retention period expiration
1.7.4	Internal audit reports issued to the University, and records of actions taken to address issues raised	Completion of audit + 7 years (though longer retention periods may be required depending on findings)	Destroy upon retention period expiration

	Subject	Retention Period	Notes
1.8	Legal Document and services		
1.8.1	Contracts and legal agreements (including supporting documentation and legal advice)	End of contract + 6 years (under signature). End of contract + 12 years (under seal)	Destroy upon retention period expiration
1.8.2	Leases and lease agreements	Expiry of lease + 15 years	Destroy upon retention period expiration
1.8.3	Claims by or against the University which do not proceed to litigation or are settled by agreement (including supporting legal advice)	Withdrawal or settlement of claim + 6 years	Destroy upon retention period expiration
1.8.4	Litigation with third parties where legal precedents are set (including supporting legal advice)	Settlement + 6 years	Records to be retained in perpetuity by University Solicitor
1.8.5	Litigation with third parties where legal precedents are not set (including supporting legal advice)	Settlement + 6 years	Destroy upon retention period expiration
1.8.6	Records relating to Trusts	Until Trust wound up or subsumed	Initiate review process prior to decision to destroy
1.8.7	General legal advice on matters of the University's status, governance, industrial relations and health and safety	Until superseded by fresh advice + 12 years	Destroy upon retention period expiration
1.8.8	General legal advice on other matters	Until superseded by fresh advice + 6 years	Destroy upon retention period expiration

Section 2 – Student Administration

	Subject	Retention Period	Notes
2.1	Core Student Record		
2.1.1	Core electronic (SITS) and paper record of individual students, including: <ol style="list-style-type: none"> i. Basic personal details ii. Information gathered at application iii. Information gathered at registration iv. Degree courses undertaken, including relevant dates of teaching and assessment. v. Information on academic progress and performance, including assessment outcomes vi. Any supplementary information required for professional accreditation vii. Summary information on academic appeals, complaints, discipline and academic misconduct viii. Summary of information on examination allowances ix. Transcript x. Reference(s) from the University 	Student graduation or departure + 6 years	Electronic records: Retain in perpetuity Paper records: Destroy (though longer retention periods may be necessary in some cases)

	Subject	Retention Period	Notes
2.2	Student recruitment and admissions		
2.2.1	Prospectuses	See 1.1.1	See 1.1.1
2.2.2	Design, conduct and results of recruitment campaigns and events	While necessary for reference and future planning purposes	Destroy upon retention period expiration
2.2.3	Anonymised summaries and analysis of enquiry and recruitment data	While necessary for reference and future planning purposes	Destroy upon retention period expiration
2.2.4	Development of general admissions criteria	End of current academic year + 10 years	Initiate review process prior to decision to destroy
2.2.5	Individual student applications: unsuccessful applicants	Completion of admissions round + 1 year (though longer retention periods may be necessary for deferred or non-standard application)	Destroy upon retention period expiration
2.2.6	Individual student applications: successful applicants	Held as part of Core Student Record	See 2.1
2.2.7	Individual student registration information	Held as part of Core Student Record	See 2.1
2.2.8	Records relating to an individual student's visa status	Until the student is no longer sponsored + 1 year or until a Home Office compliance officer has examined and approved the documentation + 1 year (whichever is the longer)	Destroy upon retention period expiration

	Subject	Retention Period	Notes
2.3	Student Assessment		
2.3.1	Examination and assessment guidelines and handbooks (including examination rules and procedures)	Issue of new edition + 10 years	Initiate review process prior to decision to destroy
2.3.2	Records concerning the appointment of individual external examiners	End of individual's appointment + 1 year	Destroy upon retention period expiration
2.3.3	Summaries of examination allowances relating to individual students	Held as part of Core Student Record	See 2.1.1
2.3.4	Doctoral theses (research postgraduate students)	None: one to be sent to Library immediately upon successful completion of programme	Send to library
2.3.5	Examination papers	Publication + 1 year	Destroy upon retention period expiration (unless PSRB dictates otherwise)
2.3.6	Examination scripts, submitted assessments, dissertations and theses (undergraduate and taught postgraduate students)	Each faculty to build and maintain retention schedule taking into consideration advice and guidance from Academic Services and PSRBs	
2.3.7	Total marks and marks for each element of examination	Held as part of Core Student Record	See 2.1.1
2.3.8	Assessment Board minutes, External Examiners' reports and classes awarded	See Assessment Board management information from Academic Services	

	Subject	Retention Period	Notes
2.4	Student complaints, appeals, discipline and misconduct		
2.4.1	Individual student complaint files	Last action on complaint + 6 years	Destroy upon retention period expiration
2.4.2	Individual student academic appeal files	Last action on appeal + 6 years	Destroy upon retention period expiration
2.4.3	Individual student disciplinary files	Last action on disciplinary case + 6 years	Destroy upon retention period expiration
2.4.4	Individual student academic misconduct files	Last action on misconduct case + 6 years	Destroy upon retention period expiration
2.4.5	Individual student fitness to practice files	Last action on file + 12 years	Destroy upon retention period expiration

	Subject	Retention Period	Notes
2.5	Student Support		
2.5.1	General administration of financial aid, emergency or hardship funds, scholarships and bursaries (not at the level of individual students)	End of current academic year + 6 years	Destroy upon retention period expiration
2.5.2	Design, operation and anonymised results of University-wide student surveys	While necessary for reference and future planning purposes	Initiate review process prior to decision to destroy

	Subject	Retention Period	Notes
2.6	Student union and University relations		
2.6.1	Records of formal Student Union-University liaison committees	See 1.2	Destroy upon retention period expiration

Section 3 – Teaching

	Subject	Retention Period	Notes
3.1	General University teaching quality and standards		
3.1.1	Records detailing the development of general University quality assurance processes for teaching	Held as part of relevant committee papers	See 1.2
3.1.2	Formal internal reviews of general University teaching quality and standards: final reports and core working papers	Held as part of relevant committee papers	See 1.2
3.1.3	Formal external reviews (e.g. QAA) of general University teaching quality and standards: final reports, submission and supporting documentation	End of review + 10 years	Initiate review process prior to decision to destroy

	Subject	Retention Period	Notes
3.2	Taught degree course development, approval, delivery and review		
3.2.1	Core records detailing the development and approval of individual taught degree courses (including course content, background statistical and benchmarking information, validation processes)	Held as part of relevant committee papers	See 1.2
3.2.2	Formal reviews of individual taught degree courses: final reports and core working papers	Held as part of relevant committee papers	See 1.2
3.2.3	Anonymised summaries and analysis of student feedback on individual taught degree courses	While necessary for reference and future planning purposes (at least: End of current academic year + 12 years)	Initiate review process prior to decision to destroy

	Subject	Retention Period	Notes
3.3	Taught degree course accreditation		
3.3.1	Records detailing the approval and accreditation of taught degree courses from professional, statutory and other formal accreditation bodies	End of accreditation process + 10 years	Initiate review process prior to decision to destroy

	Subject	Retention Period	Notes
3.4	Taught paper development, approval, delivery and review		
3.4.1	Core records detailing the development and approval of individual papers within taught degree courses	Held as part of the relevant committee papers	See 1.2
3.4.2	Handbooks and reading lists produced for a cohort of students	Completion of paper by the relevant cohort of students + 6 years (though longer retention periods may be necessary due to external accreditation or other quality assurance requirements)	Destroy upon retention period expiration
3.4.3	Teaching and learning materials produced during the life of a taught paper for a given cohort of students (e.g. handouts and Virtual Learning Environment resources)	Retention periods will vary accordingly to the nature and medium of the materials and their on-going pedagogic value	Destroy upon retention period expiration
3.4.4	Formal reviews of individual taught papers: final reports and core working papers	Held as part of relevant committee papers	See 1.2
3.4.5	Anonymised summaries and analyses of student feedback on individual taught papers	While necessary for reference and future planning purposes (at least: End of current academic year + 12 years)	Destroy upon retention period expiration

Section 4 – Research

	Subject	Retention Period	Notes
4.1	Research quality, standards and governance		
4.1.1	Records detailing the development of general University quality assurance processes for research	Held as part of relevant committee papers	See 1.2
4.1.2	Formal internal reviews of general University research quality and standards: final reports and core working papers	Held as part of relevant committee papers	See 1.2
4.1.3	Formal external reviews (e.g. REF) of general University research quality and standards: final reports and core working papers	End of review + 10 Years	Initiate review process prior to decision to destroy
4.1.4	Records relating to a projects research governance and ethics	Held as part of relevant committee papers (for any records not part of the committee papers follow the recommendation of ethical review body)	See 1.2
4.1.5	Case files relating to allegations of research misconduct	Closure of case or end of investigation + 7 years	Destroy upon retention period expiration

	Subject	Retention Period	Notes
4.2	Research project development and management		
4.2.1	Communications with research funders which lead to research projects	Until research project completes + 6 years (though longer retention periods may be required by research funder, in which case research funder retention period should be followed)	Destroy upon retention period expiration
4.2.2	Communications with research funders which do not lead to research projects	Last action on proposed project + 1 year	Destroy upon retention period expiration

4.2.3	Records detailing the formation and management of partnerships and other collaborations to undertake research	Life of partnership or collaboration + 6 years (though longer retention periods may be necessary due to specific contractual requirements)	Destroy upon retention period expiration
4.2.4	Research project design and preparatory papers (generally held by principle researcher) where the project is pursued	Completion of project + 6 years	Destroy upon retention period expiration
4.2.5	Research project design and preparatory papers (generally held by the principle researcher) where the project is not pursued	Last action on proposed project + 1 year	Destroy upon retention period expiration
4.2.6	Research data and working papers produced through the life of the project	Retention periods will vary according to specific contractual requirements and the nature and sensitivity of the research (as a general guide: Completion of project + 10 years)	Actions will vary according to specific contractual requirements and the nature and sensitivity of the research (as a general guide : Destroy)
4.2.7	Papers (generally held by the principle researcher) detailing the overall management of research projects	Completion of project + 6 years (though longer retention periods may be necessary due to specific contractual requirements)	Destroy upon retention period expiration
4.2.8	Final reports produced by the Principle researcher on externally funded research projects	Completion of project + 6 years (though longer retention periods may be necessary due to specific contractual requirements)	Initiate review process prior to decision to destroy
4.2.9	Final research outputs (formal publications etc.)	To be determined by the Library Service when the final research outputs are submitted to the SURE database.	Send to the University's digital Institutional Repository

	Subject	Retention Period	Notes
4.3	Research Commercialisation		
	Guidance on records in this category (e.g. patent applications, intellectual property rights registrations, trademark certificates) is available from Legal and Governance on a case-by-case basis.		

Section 5 – Finance

Please note that under no circumstances should payment card/cardholder details be stored by the University of Sunderland, to do so would breach the Payment Card Industry – Data Security Standards and could lead to on-going monetary penalties against the University of Sunderland.

	Subject	Retention Period	Notes
5.1	General Finance		
5.1.1	Annual Financial Statements: final copy	See 1.1	See 1.1
5.1.2	Annual Financial Statements: preparatory documents	End of current financial year + 6 years	Destroy upon retention period expiration
5.1.3	Financial Regulations and Procedures	Until superseded by new edition + 1 year	Initiate review process prior to decision to destroy
5.1.4	Financial audits and actions taken to address issues raised	Completion of audit + 10 years (though longer retention periods may be necessary depending on findings)	Destroy upon retention period expiration

	Subject	Retention Period	Notes
5.2	University Accounting		
5.2.1	Purchase orders, purchase invoices, sales invoices, credit card records, expenses payments, petty cash handling, retail sales transactions and other transaction records	End of current financial year + 6 years (though longer retention periods may be necessary due to the specific contractual requirements of a research project funder)	Destroy upon retention period expiration
5.2.2	Student accounts and tuition fee records (for scholarships and bursaries, see 2.5.1)	Student graduation or departure + 6 years	Destroy upon retention period expiration

	Subject	Retention Period	Notes
5.3	Internal accounting and budget management		
5.3.1	Preparation and monitoring of annual operating budgets	While necessary for reference and future planning purposes	Destroy upon retention period expiration

	Subject	Retention Period	Notes
5.4	Funding Administration		
5.4.1	Administration of annual funding allocations from HEFCE and other funding bodies	End of current financial year + 10 years	Destroy upon retention period expiration
5.4.2	Administration of research grants from Funding Research Councils, the EU or other funders	End of grant + 6 years (though longer retention periods may be necessary due to the specific contractual requirements of research project funder)	Destroy upon retention period expiration

	Subject	Retention Period	Notes
5.5	Tax		
5.5.1	Preparation and filing of annual tax returns (incl. VAT)	End of current tax years + 6 years	Destroy upon retention period expiration

	Subject	Retention Period	Notes
5.6	Cash, investment and asset management		
5.6.1	Opening and closing of bank accounts	Closure of account + 6 years	Destroy upon retention period expiration
5.6.2	Standing order and direct debit instructions	End of instruction + 6 years	Destroy upon retention period expiration
5.6.3	Bank statements and associated documentation	End of current financial year + 6 years	Destroy upon retention period expiration
5.6.4	Overall management of investment portfolio	Disinvestment + 6 years	Destroy upon retention period expiration
5.6.5	Purchase and sale of investments	Date of transaction + 6 years	Destroy upon retention period expiration
5.6.6	Valuations of capital assets	Until superseded by new valuation + 6 years	Destroy upon retention period expiration
5.6.7	Authorisations to dispose of capital assets	Disposal + 6 years	Destroy upon retention period expiration

	Subject	Retention Period	Notes
5.7	Insurance		
5.7.1	Insurance Certificates	Expiry of certificate + 40 years	Destroy upon retention period expiration
5.7.2	Records documenting the arrangement and renewal of insurance policies	Expiry of policy + 6 years	Destroy upon retention period expiration
5.7.3	Claims, and outcomes of claims, against insurance policies	Settlement or withdrawal of claim + 6 years	Destroy upon retention period expiration

	Subject	Retention Period	Notes
5.8	Procurement		
5.8.1	Internal authorisation for procurement	End of current financial year + 1 year (though longer retention periods may be necessary due to the specific contractual requirements of a research project funder)	Destroy upon retention period expiration
5.8.2	Supplier evaluation criteria	Until superseded by new criteria + 5 years	Destroy upon retention period expiration
5.8.3	Invitations to suppliers to apply for approval	Completion of approval process + 1 year (though longer retention periods may be necessary due to the specific contractual requirements of a research project funder)	Destroy upon retention period expiration
5.8.4	Evaluations of supplier applications: approved suppliers	End of approval period	Destroy upon retention period expiration
5.8.5	Evaluations of suppliers applications: rejected suppliers	Rejection + 1 year	Destroy upon retention period expiration
5.8.6	Tender evaluation criteria	End of resulting contract + 6 years	Destroy upon retention period expiration
5.8.7	Invitations to tender	End of resulting contract + 6 years	Destroy upon retention period expiration
5.8.8	Evaluations of tender applications: approved tenders	End of resulting contract + 6 years	Destroy upon retention period expiration
5.8.9	Evaluations of tender applications: rejected tenders	Rejection + 1 year	Destroy upon retention period expiration

5.8.10	Supply contracts (and ensuing variations)	End of contract + 6 years	Destroy upon retention period expiration
5.8.11	Contract award notices	End of contract + 6 years	Destroy upon retention period expiration
5.8.12	Reports on contracts for the Office of Government Commerce	End of current financial year + 3 years	Destroy upon retention period expiration
5.8.13	Supplier performance monitoring	End of contract + 6 years	Destroy upon retention period expiration

	Subject	Retention Period	Notes
5.9	Subsidiary Companies		
	(Once established, wholly-owned subsidiary companies are separate legal entities. Guidance on the management of a subsidiary company's day-to-day records may nonetheless be sought from the various sections of this schedule.		
5.9.1	Records concerning the formation of a subsidiary company	Life of company + 6 years	Initiate review process prior to decision to destroy
5.9.2	Proposals for the formation of a subsidiary company where the company was not formed	Last action on the proposal + 6 years	Destroy upon retention period expiration
5.9.3	Periodic review and oversight of the subsidiary company by the University	Held as part of the relevant committee papers	See 1.2
5.9.4	Winding-up or disposal of the University's interest in the subsidiary company	Winding-up or disposal of interest + 6 years	Initiate review process prior to decision to destroy

Section 6 – Human Resources

	Subject	Retention Period	Notes
6.1	Core Staff Record (Relating to individual members of staff)		
6.1.1	Core electronic (CHRIS) and paper record of individual members of staff, including: <ul style="list-style-type: none"> i. Basic personal details (including emergency contacts) ii. Initial application for employment, supporting documentation and related correspondence (e.g. references, statutory checks, work permits) iii. Subsequent successful applications for other jobs within the University (for unsuccessful applications, see 6.2.2) iv. Contract(s) of employment and records of changes to terms and conditions 	End of employment + 6 years	Electronic records: retain in perpetuity Paper records: Destroy upon retention date expiration

	Subject	Retention Period	Notes
6.2	Personnel Matters (Relating to individual members of staff. For Occupational Health, see 12.4)		
6.2.1	Job applications: successful applications	Held as part of successful applicant's core staff record	See 6.1
6.2.2	Job applications: unsuccessful applications	Closing date for vacancy + 1 year	Destroy upon retention period expiration
6.2.3	Unsolicited job applications	Receipt of application + 1 year	Destroy upon retention period expiration
6.2.4	Records of induction programmes attended	Completion of programme + 5 years	Destroy upon retention period expiration
6.2.5	Records of general training and development programmes attended (see 12.2.2 for records relating to specialist health and safety training)	Completion of programme + 5 years	Destroy upon retention period expiration
6.2.6	Records of general training and development programmes attended where these are a statutory or regulatory requirement (see 12.2.2 for records relating to specialist health and safety training)	Expiry of relevant certification + 6 years	Destroy upon retention period expiration

6.2.7	Annual appraisals (including identification of training, development and welfare needs) and records of subsequent actions	End of employment + 6 years	Destroy upon retention period expiration
6.2.8	Promotions: re-grading confirmation and justifications; awards of contribution increments; senior Academic Promotions; supporting documentation	End of employment + 6 years	Destroy upon retention period expiration
6.2.9	Performance, disciplinary, grievance and capability proceedings (correspondence outlining concerns, confirmation of implements support, outcomes of both informal and formal reviews, appeals)	End of employment + 6 years	Destroy upon retention period expiration
6.2.10	Remuneration and reward of an individual employee (including records of special rewards and employee authorisations for non-standard deductions from salary)	End of current tax year + 6 years	Destroy upon retention period expiration
6.2.11	Administration of an employee's contractual holiday (annual leave) entitlement	End of current academic year + 1 year	Destroy upon retention period expiration
6.2.12	Administration of an employee's absence due to sickness	Absence record: End of employment + 6 years Sickness record: End of current tax year + 3 years	Destroy upon retention period expiration
6.2.13	Administration of an employee's special leave (i.e. compassionate, study, research)	End of employment + 6 years	Destroy upon retention period expiration
6.2.14	Administration of an employee's parental leave	Birth / adoption of child + 6 years	Destroy upon retention period expiration
6.2.15	Entitlements to and calculations of an employee's statutory Maternity Pay	End of current tax year + 3 years	Destroy upon retention period expiration
6.2.16	Records concerning termination of employment (redundancy)	End of employment + 6 years	Destroy upon retention period expiration
6.2.17	Retirement records	End of Employment + 6 years	Destroy upon retention period expiration
6.2.18	References provided by the University to third parties about an employee	End of Employment + 6 years	Destroy upon retention period expiration
6.2.19	Staff welfare records about individual members of staff	End of current academic year + 3 years (though longer retention periods may be necessary if individual cases are on-going)	Destroy upon retention period expiration

6.2.20	Records relating to an individual staff member's visa status	Until the staff member is no longer sponsored or until a home office compliance officer has examined and approved the documentation (whichever is longer)	Destroy upon retention period expiration
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	Subject	Retention Period	Notes
6.3	Workforce planning, recruitment and promotion (this is generic information i.e. not information relating to individual staff members)		
6.3.1	Assessments of workforce requirements	Until superseded by new assessment + 3 years	Destroy upon retention period expiration
6.3.2	Design, Operation and anonymised results of staff surveys conducted by the University	While necessary for reference and future planning purposes (as a general guide: Until superseded by new survey + 5 years)	Destroy upon retention period expiration
6.3.3	Management succession plans	Until superseded by new plans + 5 years	Destroy upon retention period expiration
6.3.4	Vacancy advertisements and job descriptions	Held as part of successful applicant's core staff record	See 6.1
6.3.5	Management analyses of recruitment effectiveness	While necessary for reference and future planning purposes	Destroy upon retention period expiration

	Subject	Retention Period	Notes
6.4	Staff induction, training and development (Generic; i.e. not relating to individual members of staff)		
6.4.1	Development and content of induction, training and development programmes	Until superseded by new programme + 5 years	Destroy upon retention period expiration

6.4.2	Anonymised summaries and analyses of feedback on induction, training and development programmes	End of current academic year + 5 years	Destroy upon retention period expiration
6.4.3	Management analyses of induction, training and development effectiveness	While necessary for reference and future planning purposes	Destroy upon retention period expiration

	Subject	Retention Period	Notes
6.5	Remuneration (Generic; i.e. not relating to individual members of staff)		
6.5.1	Remuneration structures	Until superseded by new structure + 10 years	Initiate review process prior to decision to destroy
6.5.2	General administration of pay reviews	End of current academic year + 6 years	Destroy upon retention period expiration
6.5.3	General administration of special reward schemes (e.g. discretionary pay, bonuses)	End of current academic year + 6 years	Destroy upon retention period expiration

	Subject	Retention Period	Notes
6.6	Payroll and Pensions		
6.6.1	Records documenting the calculation and payment of employees' salaries and other payments (for records relating to individual employees, see 6.2.10)	End of current tax year + 6 years	Destroy upon retention period expiration
6.6.2	Employer's PAYE records not sent to the inland revenue	End of current tax year + 3 years	Destroy upon retention period expiration
6.6.3	Records formally documenting the University's involvement in the LGPS	End of involvement + 5 years	Destroy upon retention period expiration
6.6.4	Records formally documenting the University's involvement in the USS Pension Scheme	End of involvement + 5 years	Destroy upon retention period expiration
6.6.5	Communications between the University and LGPS management	End of current financial year + 6 years	Destroy upon retention period expiration
6.6.6	Communications between the University and USS Pension Scheme management	End of current financial year + 6 years	Destroy upon retention period expiration
6.6.7	Employer and employee contributions to the USS Pension Scheme and LGPS	End of Employment + 75 years	Destroy upon retention period expiration

Section 7 – Facilities

Facilities have issued a separate retention schedule, which covers records relating to all aspects of the work which facilities undertakes. This is available from Business Assurance recman@sunderland.ac.uk or facilities jean.mccardle@sunderland.ac.uk.

Section 8 – Student and Staff Services

Examples of services included in the section of the Schedule are the Counselling Services, Disability Support, Careers and Employability and Student Financial Counselling.

	Subject	Retention Period	Notes
8.1	Student and Staff Services: Standards and Delivery		
	(Depending on the nature of the service, some of these records may be held as part of Committee Papers and Minutes [for which see 1.2])		
8.1.1	Formal agreements on service standards	Until superseded by new agreement + 3 years	Destroy upon retention period expiration
8.1.2	Annual Reports	Issue of report + 5 years	Initiate review process prior to decision to destroy
8.1.3	Development and management of promotional campaigns	Until superseded by new campaign + 1 year	Destroy upon retention period expiration
8.1.4	Promotional materials	Until superseded by new materials + 3 years (though longer retention periods may be necessary for reference and future planning purposes)	Destroy upon retention period expiration

	Subject	Retention Period	Notes
8.2	Student and Staff Services: Feedback and Complaints		
8.2.1	Design, operation and anonymised results of surveys conducted by the service	While necessary for reference and future planning purposes	Initiate review process prior to decision to destroy
8.2.2	Handling of formal complaints against the service	Last action on complaint + 6 years	Destroy upon retention period expiration
8.2.3	Formal counselling and disability support files relating to individual users (staff or students)	Graduation or departure + 6 years	Destroy upon retention period expiration

Section 9 – Communications

	Subject	Retention Period	Notes
9.1	Media and Public Relations		
9.1.1	Formal press releases and media briefings	Date of issue + 10 years (though longer retention periods may be necessary depending on the nature and sensitivity of the content)	Destroy upon retention period expiration
9.1.2	Media Contact Lists	Until superseded by new or updated list	Destroy upon retention period expiration
9.1.3	Media enquiries and responses	Last action on the enquiry + 5 years	Destroy upon retention period expiration
9.1.4	Monitoring of media coverage	End of current academic year + 10 years	Destroy upon retention period expiration
9.1.5	Enquiries from members of the public and responses provided	Last action on the enquiry + 3 years	Destroy upon retention period expiration

	Subject	Retention Period	Notes
9.2	Branding and Market Research		
9.2.1	Records detailing the design of University branding (logos, etc.)	Until superseded by new branding	Initiate review process prior to decision to destroy
9.2.2	Anonymised market research data	While necessary for reference and future planning purposes (as a general guide: Completion of market research + 5 years)	Destroy upon retention period expiration
9.2.3	Records detailing the design and conduct of 'marketing' and advertising campaigns (excluding student and staff recruitment activities, for which see 2.2.2 and 6.3.4 respectively)	Completion of campaign + 6 years	Destroy upon retention period expiration

Section 10 – Libraries

The University of Sunderland Library service deal with the special collections and special archives on behalf of the University and as such retain their own retention schedules. For information please contact collections.murray@sunderland.ac.uk.

Section 11 – IT Services

Please note the University of Sunderland has a major IT project which is being prepared for deployment (convergent infrastructure) and as part of this project Backup schedules which include retention periods will be developed.

	Subject	Retention Period	Notes
11.1	Development of IT Systems		
11.1.1	Records of the development, modification and maintenance of core IT systems	Decommissioning of system + 5 years	Destroy upon retention period expiration
11.1.2	Initial development of core IT systems that are not implemented	Last action towards development + 5 years	Destroy upon retention period expiration
11.1.3	Development of new, non-core IT systems (usually held as a project management records)	Termination of project + 5 years	Destroy upon retention period expiration

	Subject	Retention Period	Notes
11.2	Operation of IT Systems		
11.2.1	Routine monitoring of IT systems and actions taken to rectify problems	End of current academic year + 3 years	Destroy upon retention period expiration
11.2.2	Software licences	Until superseded by new licences + 6 months	Destroy upon retention period expiration
11.2.3	Email and connection log data	Date of log + 6 months	Destroy upon retention period expiration
11.2.4	Web usage log data	Date of log + 3 months	Destroy upon retention period expiration
11.2.5	Anonymised summaries of log data	While necessary for reference and future planning purposes	Destroy upon retention period expiration

	Subject	Retention Period	Notes
11.3	Information Security		
11.3.1	Records documenting attempted or actual security breaches of IT systems and actions taken	Last action on breach + 6 years	Destroy upon retention period expiration
11.3.2	Records documenting extraordinary institutional access to individual user accounts	End of access period + 6 years	Destroy upon retention period expiration

	Subject	Retention Period	Notes
11.4	User Support Services		
11.4.1	Development and content of IT training programmes	Until superseded by new programmes + 3 years	Destroy upon retention period expiration
11.4.2	Logs of requests for assistance from IT system users and action taken	Date of resolution + 6 years	Destroy upon retention period expiration

Section 12 – Health and Safety (including Occupational Health)

	Subject	Retention Period	Notes
12.1	General Health and Safety		
12.1.1	Health and safety inspections and audits and records of actions taken to address issues raised	Completion of inspection or audit + 10 years (though longer retention periods may be necessary depending on findings)	Destroy upon retention period expiration
12.1.2	Annual health and safety reports	Held as part of relevant committee papers	See 1.2
12.1.3	Records detailing the appointment of health and safety advisors	End of an individuals appointment + 5 years	Destroy upon retention period expiration
12.1.4	General health and safety information, induction and training materials for staff, student and visitors	Until superseded by new materials + 5 years	Destroy upon retention period expiration
12.1.5	General risk assessments of health and safety hazards	Until superseded by updated risk assessment + 5 years	Destroy upon retention period expiration

	Subject	Retention Period	Notes
12.2	Hazardous Substances		
12.2.1	Risk assessments involving hazardous substances	Held in Perpetuity	
12.2.2	Health and safety instructions and training records for employees exposed to hazardous substances (see 6.2.5 – 6.2.6 for records relating to general staff training and development programmes)	End of employment + 40 years	Destroy upon retention period expiration
12.2.3	Records concerning work with asbestos	Held in Perpetuity	
12.2.4	Records concerning work with radioactive and other hazardous substances	Held in Perpetuity	
12.2.5	Formal investigations and reports into injuries, dangerous occurrences, accidents, incidents involving hazardous substances, environmental incidents and outbreaks of notifiable diseases on University premises	Closure of investigation + 40 years	Destroy upon retention period expiration
12.2.6	Official notifications as required of injuries, dangerous occurrences, accidents, incidents involving hazardous substances, environmental incidents and outbreaks of notifiable diseases on University Premises	Date of notification + 3 years	Destroy upon retention period expiration

12.2.7	Records relating to disposal of general waste	Disposal of waste + 2 years	Destroy upon retention period expiration
12.2.8	Records relating to disposal of hazardous and clinical waste	Disposal of Waste + 3 years	Destroy upon retention period expiration

	Subject	Retention Period	Notes
12.3	Fire Safety and First Aid		
12.3.1	Records detailing the appointment of fire wardens and first aiders	End of individual's appointment + 5 years	Destroy upon retention period expiration
12.3.2	Fire safety risk assessment and drill procedures	Until superseded by updated risk assessment or new procedures + 5 years	Destroy upon retention period expiration
12.3.3	Fire fighting and safety equipment testing	Until re-tested + 5 years	Destroy upon retention period expiration
12.3.4	Assessments of first aid facilities, equipment and personnel	Until superseded by updated assessment + 3 years	Destroy upon retention period expiration
12.3.5	Arrangements between the University and the emergency services in the case of fire or medial emergency	Until superseded by new arrangements + 5 years	Destroy upon retention period expiration

	Subject	Retention Period	Notes
12.4	Occupational Health		
12.4.1	Occupational Health records throughout employment for employees exposed to hazardous substances	End of employment + 40 years	Destroy upon retention period expiration
12.4.2	Occupational Health records throughout employment for all other employees	End of employment + 8 years	Destroy upon retention period expiration

Section 13 – Development and Alumni Relations

	Subject	Retention Period	Notes
13.1	Administration of Relationships with Alumni, Donors and Supporters		
13.1.1	Basic records concerning individual alumni, donors and supporters	Held in perpetuity	
13.1.2	Records of transactions with minor donors to the University	End of current financial year + 6 years	Destroy upon retention period expiration
13.1.3	Records of transactions with major donors to the University	Retention periods will be determined on a case-by-case basis according to any contractual agreements	Destroy upon retention period expiration
13.1.4	Statistics, surveys and research relating to alumni, donors and supporters	While necessary for reference and future planning purposes	Destroy upon retention period expiration

	Subject	Retention Period	Notes
13.2	Fundraising, Events and Publications		
13.2.1	Design and conduct of fundraising campaigns and initiatives	While necessary for reference and future planning purposes	Destroy upon retention period expiration
13.2.2	Reports on outcomes of fundraising campaigns and initiatives	Completion of campaign + 6 years	Initiate review process prior to decision to destroy
13.2.3	Planning and organisation of events and meetings (e.g. reunions, corporate occasions) for cohorts of alumni, donors and supporters	While necessary for reference and future planning purposes	Destroy upon retention period expiration
13.2.4	Reports on outcomes of events for cohorts of alumni, donors and supporters	Completion of event + 6 years	Initiate review process prior to decision to destroy
13.2.5	Regular publications (e.g. magazines) for alumni, donors and supporters	Single Copy to retained in perpetuity	
13.2.6	Irregular publications for alumni, donors and supporters, or concerning fundraising campaigns and initiatives/events	While necessary for reference and future planning purposes	Initiate review process prior to decision to destroy