# OXFORD BROOKES UNIVERSITY

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## 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.

Vanna Leathart
University Records Manager

ext: 4046

Email: vleathart@brookes.ac.uk

## Retention Schedule

### 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** |
| 1.1 Legal Framework Development |
| 1.1.1 | Establishment and development of the legal framework | Life of Institution | Archive | **1992 c.13** |
| 1.2 Governance Structure Development |
| 1.2.1 | Establishment and development of the governance structure | Life of Institution | Archive | JISC |
| 1.3 Senior Management Team / Board of Governors |
| 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 |
| 1.4 Executive Committees |
| 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 |
| 1.5 Appointment of senior officers |
| 1.5.1 | Appointment and designation of senior officers | End of appointment + 6 years | Archive | JISC |

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| 1.6 Organisational Restructuring |
| 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 |

### Strategic Planning

|  |  |  |  |  |
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|  | **Type of Record** | **Retention Period** | **Action** | **Citation** |
| 2.1 Strategic Planning and Performance |
| 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 |
| 2.2 Policy Development |
| 2.2.1 | Development and establishment of policy | Superseded + 10 years | Archive | Internal Guidelines |
| 2.3 Procedure Development |
| 2.3.1 | Development and establishment of procedure | Superseded + 6 years | Review | JISC |

### Risk Management

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

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| --- | --- | --- | --- | --- |
|  | **Type of Record** | **Retention Period** | **Action** | **Citation** |
| 3.1 Risk Identification and Assessment |
| 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 |
| 3.2 Business Continuity Planning |
| 3.2.1 | Formulation, testing and maintenance of disaster response and recovery plans | Superseded + 5 years | Destroy | JISC |

### 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***

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|  | **Type of Record** | **Retention Period** | **Action** | **Citation** |
| 4.1 Quality Audit |
| 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 |  |
| 4.2 Quality Management Scheme Accreditation |
| 4.2.1 | Attainment and maintenance of accreditation under established independent quality management schemes | End of accreditation + 1 year | Archive | JISC |
| 4.3 Complaints Procedures |
| 4.3.1 | Complaints Systems and Procedures | 5 years | Destroy | JISC |
| 4.3.2 | Public Complaints | Last action + 3 years | Destroy |

### 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***.

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|  | **Type of Record** | **Retention Period** | **Action** | **Citation** |
| 5.1 Audit |
| 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 |

### Human Resources

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | **Type of Record** | **Retention Period** | **Action** | **Citation** |
| 6.1 HR Strategy |
| 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 |
| 6.2 Workforce Planning |
| 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 | **1980 c.58** |
| 6.2.2 | Management succession plans | Superseded + 5 years | Review | JISC |
| 6.2.3 | Development and evaluation of job specifications | Superseded + 5 years | Review |
| 6.3 Workforce Recruitment |
| 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 | **1975 c.65;****1976 c.74;****1995 c. 50** |
| 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 | **1975 c.65;****1976 c.74;****1995 c. 50** |
| 6.3.5 | Handling of applications for vacancies: successful applications | End of employment of successful candidate + 6 years | Destroy |

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| --- | --- | --- | --- | --- |
| 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 |
| 6.4 Workforce Induction |
| 6.4.1 | Development, overall delivery and assessment of induction programmes for new employees.For records of individual employees’ induction programmes, see section ***6.10 Human Resources – Employee Contract Management*** | Life of Programme Year + 5 Years | Review | JISC |
| 6.4.2 | Administration of induction programmes | Completion or End of programme + 1 year | Destroy |
| 6.5 Workforce Training and Development |
| 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 |
| 6.6 Workforce Performance Management |
| 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 |
| 6.7 Workforce Remuneration and Reward |
| 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 |
| 6.8 Workforce Welfare |
| 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 | **SI 1998/1833** |
| 6.9 Workforce Relations |
| 6.9.1 | Design of workforce surveys and consultations | Completion of survey / consultation + 5 years | Review | JISC |
| 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 | **1980 c.58** |
| 6.10 Employee Contract Management |
| 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 | JISC |
| 6.10.9 | Employee’s identified training and development needs, and the action taken to meet those needs | Completion of action + 5 years | Destroy |
| 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 | **1980 c.58** |
| 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 |

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| 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 | **1980 c.58;****1970 c. 41;****SI 1999/584** |
| 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 | **1992 c. 4****1994 c. 23;****IR CA30** |
| 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 | **SI 1999/3312** |
| 6.10.20 | Entitlements to and calculations of Statutory Maternity Pay | Current Tax Year (in which leave ends) + 3 years | Destroy | **1992 c. 4;****SI 1986/1960** |
| 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 | **SI 2002/2675;****SI 2002/2676;****SI 2002/2677** |
| 6.10.23 | Pre-employment health screening of an employee: other employees | End of Employment + 6 years | Destroy | **1980 c.58** |
| 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 | **SI 2002/2675;****SI 2002/2676;****SI 2002/2677** |
| 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 | **1980 c. 58** |
| 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 |

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| 6.11 Industrial Relations |
| 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 |
| 6.12 Pension Schemes Administration |
| 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 |
| **6.13** | **Affiliates** |
| 6.13.1 | Requests for affiliate status | End of affiliate status + 1 year | Destroy | Internal guidelines |

### Legal

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

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

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|  | **Type of Record** | **Retention Period** | **Action** | **Citation** |
| 7.1 Policies |
| 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 |
| 7.2 Contracts and Agreements |
| 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 | **1980 c.58** |
| 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 | **1980 c.58** |
| 7.3 Legal Claims |
| 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 | **1980 c.58** |
| 7.4 Litigation |
| 7.4.1 | Litigation with third parties where legal precedents are set | Settlement of case + 6 years | Review | **1980 c.58** |
| 7.4.2 | Litigation with third parties where legal precedents are not set | Settlement of case + 6 years | Review |
| 7.5 Legal Interpretation and Provision of Advice |
| 7.5.1 | Legal advice requested by and provided to Oxford Brookes University concerning: - interpretation of legislation affecting its legal framework, governance, responsibilities or operations - proposals for new legislation affecting its legal framework, governance, responsibilities or operations - relationships with government bodies and HE regulators - industrial relations issues  - health, safety and environmental issues | Superseded + 6 years | Archive | JISC |

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

### Intellectual Property

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

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|  | **Type of Record** | **Retention Period** | **Action** | **Citation** |
| 8.1 Strategy |
| 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 |
| 8.2 Patent Management |
| 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 |
| 8.3 Copyright Administration |
| 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 |

### Finance

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|  | **Type of Record** | **Retention Period** | **Action** | **Citation** |
| 9.1 Financial Strategy |
| 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 |
| 9.2 Financial Management Policy |
| 9.2.1 | Development and establishment of financial management policies. | Superseded + 10 years | Review | JISC |
| 9.3 Financial Management Procedures |
| 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 |
| 9.4 Financial Audit |
| 9.4.1 | Conduct and results of financial audits, and action taken to address issues raised | Superseded + 10 years | Review | **1980 c.58** |
| 9.5 Financial Accounting |
| 9.5.1 | Issue of sales invoices and the processing of incoming payments | Current Financial Year + 6 years | Destroy | **1970 c.9;****1980 c.58;****1994 c.23;****HMCE 700/21** |
| 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 | **1970 c.9;****1980 c.58** |
| 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 | **1980 c.58;****1994 c.23** |
| 9.5.9 | Receipt and processing of students’ fees | Current Financial Year + 6 years | Destroy | **1970 c.9;****1980 c.58** |
| 9.5.10 | Preparation of annual accounts | Current Financial Year + 6 years | Destroy | **1970 c.9** |
| 9.5.11 | Annual Accounts | Current Financial Year + 6 years | Archive | **1970 c.9** |
| 9.6 Management Accounting |
| 9.6.1 | Analyses of the internal deployment of financial resources | Current Financial Year + 2 years | Review | JISC |
| 9.7 Statutory Accounting |
| 9.7.1 | Preparation of statutory accounts | Current Financial Year + 6 years | Destroy | **1980 c.58** |
| 9.8 Internal Accounting |
| 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 |
| 9.9 Funding Administration |
| 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** |
| 9.10 Budget Management |
| 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 |
| 9.11 Payroll Administration |
| 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** |
| 9.12 Pension Contributions Administration |
| 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 |
| 9.13 Tax |
| 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** |

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| 9.14 Cash, Investments and Assets |
| 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** |
| 9.15 Alumni Support |
| 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 |

### 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***.

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|  | **Type of Record** | **Retention Period** | **Action** | **Citation** |
| 10.1 Supplier Approval (applies only to formal applications received as part of a contract notice process and not ad hoc mail shots) |
| 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 |
| 10.2 Supply Contract Tendering |
| 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 |
| 10.2.7 | Statistical reports to HM Treasury on contracts awarded (as required by the Regulations cited) | Current Financial Year + 3 years | Destroy | **SI 1991/2680;****SI 1993/3228;****SI 1995/201** |
| 10.3 Supply Contract Management |
| 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 |
| 10.4 Procurement Authorisation |
| 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 |

### Insurance

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|  | **Type of Record** | **Retention Period** | **Action** | **Citation** |
| 11.1 Insurance Policies |
| 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 | **1969 c.57;****SI 1998/2573** |
| 11.1.4 | All other insurance policies | Expiry of policy + 6 years | Destroy | **1980 c.58** |
| 11.1.5 | Claims | Settlement / withdrawal of claim + 6 years | Review | **1980 c.58** |

### Health and Safety

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|  | **Type of Record** | **Retention Period** | **Action** | **Citation** |
| 12.1 Health and Safety Strategy |
| 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 |
| 12.2 Health and Safety Audit |
| 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** |
| 12.3 Health and Safety: Consultation |
| 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 |
| 12.4 Health and Safety: Information and Training Provision |
| 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** |
| 12.5 Health and Safety: Hazard Identification and Risk Assessment |
| 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** |
| 12.6 Hazardous Substance Exposure Control |
| 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 |

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| 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 | **SI 2002/2675** |
| 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 |
| 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 |
| 12.7 Health and Safety Inspection |
| 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 | **1974 c.37;****SI 1999/3242** |
| 12.8 Health and Safety Incident Recording, Reporting and Investigation |
| 12.8.1 | Accidents, dangerous occurrences and outbreaks of notifiable diseases on Oxford Brookes University premises | Date of recording + 3 years | Archive | **SI 1979/628;****SI 1985/967;****SI 1995/3163** |
| 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 | **SI 1995/3163** |
| 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 | **SI 2002/2677** |
| 12.8.4 | Other accident books/reports | Date of last entry + 3 years | Review | **RIDDORSI 1995/3163** |
| 12.9 Employee Health Surveillance |
| 12.9.1 | Pre-employment health screening of an employee | End of employment + 40 years | Destroy | **1980 c.58** |
| 12.9.2 | Health surveillance of identifiable individual employees, other than those specified below | Last entry + 40 years | Destroy | **1980 c.58;****SI 1999/3242** |
| 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 | **SI 2002/2677** |
| 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 | **SI 2002/2676** |
| 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 | **SI 2002/2675** |

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| 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 | **SI 2002/2675** |
| 12.10 Emergency Planning |
| 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 | **1974 c.37;****SI 1997/1840;****SI 1999/3242** |
| 12.10.3 | Provision of role-specific training for fire wardens | End of appointment + 5 years | Destroy | **1974 c.37;****SI 1997/1840** |
| 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 | **1974 c.37;****SI 1981/917** |
| 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 | **SI 1997/1840;****SI 1999/3242** |

### 12a Occupational Health

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|  | **Type of Record** | **Retention Period** | **Action** | **Citation** |
| 12a.1 Management and administration of OH service |
| 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 |
| 12a.2 Clinical & Reporting Records |
| 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 | **1980 c.58** |
| 12a.2.2 | COSHH Health Surveillance Records | 40 years from date of last entry | Destroy | **COSHH Regulation 11 (2) (b)** |
| 12a.2.3 | Classified Medical Examination RecordsStatutory classified worker examinations | 40 years from date of last entry or age 75 which-ever is longer | Destroy | **IRR99****SI 2002/2675** |
| 12a.2.4 | RIDDOR – Reporting of Diseases and Dangerous Occurrences Regulations and First Aid Incident Reports | 3 years from date of last entry | Destroy | **RIDDOR** |

### Environmental Management

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

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|  | **Type of Record** | **Retention Period** | **Action** | **Citation** |
| 13.1 Strategy |
| 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 |
| 13.2 Environmental Audit |
| 13.2.1 | Conduct and results of environmental audits, and action taken to address issues raised | Completion of audit + 5 years | Review | JISC |
| 13.3 Environmental Hazard Identification and Risk Assessment |
| 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 |
| 13.4 Environmental Management Scheme Accreditation |
| 13.4.1 | Attainment and maintenance of Oxford Brookes University's accreditation under established environmental management schemes | End of accreditation + 1 year | Destroy | JISC |
| 13.5 Environmental Awareness Promotion |
| 13.5.1 | Action taken to raise awareness of environmental issues among employees, other staff and students | Current Year + 5 Years | Destroy | JISC |
| 13.6 Environmental Incident Recording, Reporting and Investigation |
| 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 |

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| 13.7 Energy Management |
| 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 |
| 13.8 Waste Management |
| 13.8.1 | Classification, collection and storage of 'controlled waste' prior to removal from Oxford Brookes University premises fordisposal | 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 |

### Estate Management

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|  | **Type of Record** | **Retention Period** | **Action** | **Citation** |
| 14.1 Strategy |
| 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 |
| 14.2 Property Acquisition |
| 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 | **1980 c.58** |
| 14.2.4 | Acquisition of use of properties by lease or rental | Disposal of property + 6 years | Review | **1980 c.58** |
| 14.3 Property Development |
| 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 |
| 14.4 Property Maintenance |
| 14.4.1 | Inspection, maintenance and repair of properties | Completion of Work + 2 years | Destroy | **SI 1997/1840** |
| 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 | **SI 2002/2675** |
| 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 | **SI 2002/2675** |
| 14.5 Property Disposal |
| 14.5.1 | Disposal of property | Disposal of property + 6 years | Archive | JISC |

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| 14.6 Property Compliance |
| 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 |
| 14.7 Property Security |
| 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 |
| 14.8 Property Leasing-Out |
| 14.8.1 | Leasing-out arrangements for properties | End of Lease + 6 years | Review | **1980 c.58** |
| 14.9 Facility Development |
| 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 |
| 14.10 Facility Maintenance |
| 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 |
| 14.11 Facility Security |
| 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 |

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| 14.12 Facility Compliance |
| 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 |
| 14.13 Facility Relocation |
| 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 |

### Equipment and Consumables

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|  | **Type of Record** | **Retention Period** | **Action** | **Citation** |
| 15.1 Strategy |
| 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 |
| 15.2 Selection |
| 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 |
| 15.3 Storage |
| 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 |
| 15.4 Installation / Commissioning |
| 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 |

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| 15.5 Inspection and Testing |
| 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 |
| 15.6 Maintenance |
| 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 |
| 15.7 Disposal |
| 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 |

### 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***.

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|  | **Type of Record** | **Retention Period** | **Action** | **Citation** |
| 16.1 Strategy |
| 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 |
| 16.2 Internal Service Proposal Development |
| 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 |
| 16.3 Internal Service Planning |
| 16.3.1 | Planning the management and operation of an internal service | Current Year + 3 Years | Review | JISC |
| 16.4 Internal Service Performance Management |
| 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 |
| 16.5 Internal Service Policy Development |
| 16.5.1 | Development and establishment of policies on the operation, management and development of an internal service | Superseded + 5 years | Archive | Internal Guidelines |
| 16.6 Internal Services Procedures Development |
| 16.6.1 | Development of procedures for the operation, management and development of an internal service | Superseded + 1 year | Destroy | Internal Guidelines |
| 16.7 Internal Services Quality Management |
| 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 |
| 16.8 Internal Service Promotion |
| 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 |
| 16.9 Internal Service Delivery |
|  | See appropriate section for the function |
| 16.10 Internal Service Customer Relations |
| 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 |

### 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.

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|  | **Type of Record** | **Retention Period** | **Action** | **Citation** |
| 17.1 Strategy |
| 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 |
| 17.2 Records Management |
| 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 | **1980 c.58** |
| 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 | **1980 c.58** |
| 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 |
| 17.3 Data Protection Act (DPA) Compliance |
| 17.3.1 | Notifications of data controller details to the Office of the Information Commissioner | Expiry of notification + 6 years | Destroy | **1980 c.58** |
| 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 | **1980 c.58** |

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| 17.4 Freedom of Information Act (FOIA) Compliance |
| 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 |
| 17.5 Copyright Compliance |
| 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 |
| 17.6 Archives Management |
| 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 |
| 17.7 Collections Management |
| 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 |

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| 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 |
| 17.8 Publications Management |
| 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 |

### 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.***

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|  | **Type of Record** | **Retention Period** | **Action** | **Citation** |
| 18.1 IT Systems Development  |
| 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 |
| 18.2 IT Systems Operation |
| 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 |

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| 18.3 IT Systems Security |
| 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 |
| 18.4 IT Systems User Support |
| 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 |

### Teaching

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

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|  | **Type of Record** | **Retention Period** | **Action** | **Citation** |
| 19.1 Course Information |
| 19.1.1 | Records detailing information available about current courses, programmes, Departments, Schools, Facilities for Students | Superseded + 2 years | Archive | JISC |
| 19.2 Teaching Policies and Procedures |
| 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 |
| 19.3 Teaching Quality and Standards |
| 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 |
| 19.4 Taught Programme Development |
| 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 |
| 19.5 Taught Programme Review |
| 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 |

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| 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 |
| 19.6 Taught Programme Approval and Accreditation |
| 19.6.1 | Obtaining of approval and / or accreditation for taught programmes from professional, statutory or other accreditation bodies | Life of programme  | Review | JISC |
| 19.7 Taught Module Development |
| 19.7.1 | Development of taught modules | Life of module + 10 years | Review | JISC |
| 19.8 Taught Module Preparation and Delivery |
| 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 |
| 19.9 Taught Module Review |
| 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 |
| 19.10 Taught Module Assessment |
| 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 |

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| 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 |
| 19.11 Taught Student Academic Support (Tutorial Support) |
| 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 | **1980 c.58** |

### Research

The undertaking of research and delivery of supervised research projects.

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|  | **Type of Record** | **Retention Period** | **Action** | **Citation** |
| 20.1 Research Quality and Standards |
| 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 |
| 20.2 Research Business Development |
| 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 | **1980 c.58** |
| 20.3 Research Project Development |
| 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 |
| 20.4 Research Project ConductRetention 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 |
| 20.5 Research Project Management |
| 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 | **1980 c.58** |
| 20.5.3 | Final reports of all research projects | Completion of project + 6 years | Archive | JISC |

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| 20.6 Research Dissemination |
| 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 |
| 20.7 Research Exploitation |
| 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 |
| 20.8 Research Programme Development |
| 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 |
| 20.9 Research Programme Review |
| 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 |
| 20.10 Research Student Assessments |
| 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 |
| 20.11 Research Student Academic Supervision and Support |
| 20.11.1 | Appointment of supervisors for research students | End of appointment + 6 years | Destroy | Internal guidelines |

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| 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 |

### Student Administration

Recruiting and administering students.

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|  | **Type of Record** | **Retention Period** | **Action** | **Citation** |
| 21.1 Course Information |
| 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 |  | **1980 c.58** |
| 21.2 Student Recruitment |
| 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 **31.1**) | 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 |
| 21.3 Student Admission |
| 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 | **1980 c.58** |
| 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 |

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| 21.4 Student Registration |
| 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 |
| 21.5 Student Induction |
| 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 |
| 21.6 Student Records Administration |
| 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 |

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| 21.7 Student Progress Administration |
| 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) | **1980 c.58** |
| 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) |
| 21.8 Student Disciplinary Case Handling |
| 21.8.1 | Policies and Procedures for disciplinary proceedings against students. | Superseded + 6 Years | Archive | **1980 c.58** |
| 21.8.2 | Conduct and results of disciplinary proceedings against individual students | Last Action + 6 years | Review |
| 21.9 Student Academic Appeal handling |
| 21.9.1 | Handling and results of academic appeals made by individual students | Last Action + 6 years | Review | **1980 c.58** |
| 21.10 Student Complaint Handling |
| 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 | **1980 c.58** |
| 21.10.3 | Handling of complaints made by individual students where the formal complaints procedure is not initiated | Last action + 6 years | Destroy | JISC |
| 21.11 Course Administration |
| 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 | **1995 c.50** |
| 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 |

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| 21.12 Assessment Administration |
| 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 |
| 21.13 Award Ceremony Administration |
| 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 |
| 21.14 Student Liaison Management |
| 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 |

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| 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 |

### 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.***

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|  | **Type of Record** | **Retention Period** | **Action** | **Citation** |
| 22.1 Student Support Service Strategy |
| 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 |
| 22.2 Student Support Service Proposal |
| 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 |
| 22.3 Student Support Service Planning |
| 22.3.1 | Planning of a student support service | Current Financial Year + 5 Years | Review | JISC |
| 22.4 Student Support Service Performance Management |
| 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 |

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| 22.5 Student Support Service Policy Development |
| 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 |
| 22.6 Student Support Service Procedures Development |
| 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 |
| 22.7 Student Support Service Quality Management |
| 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 |
| 22.8 Student Support Service Promotion |
| 22.8.1 | Promotion of a student support service | Last action | Archive | Internal Guidelines |
| 22.9 Student Support Service Delivery Retention requirements for records generated by individual student support services must be determined on a case by case basis, taking account of:• the type of service being provided.• the legal and regulatory framework for providing particular types of services.• the need to manage personal data regarding individual students in accordance with the provisions of the Data Protection Act 1998. |
| 22.9.1 | Provision of Welfare/Advice Services to individual students. | Current Year + 6 Years | Destroy | **1980 c.58** |
| 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 | **1975 c.65;****1995 c.50** |
| 22.9.6 | Provision of Student Accommodation. | Current Year + 6 Years | Destroy | **1980 c.58** |
| 22.9.7 | Learning Support for Students with specific needs. | Current Year + 6 Years | Destroy | **1995 c.50** |

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| 22.9.8 | Chaplaincy Services | While Current | Review | Internal Guidelines |
| 22.9.9 | Meetings of Staff /Student Bodies. | Current Year + 3 Years | Archive | JISC |
| 22.10 Student Support Service Customer Relations |
| 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 | **1980 c.58** |

### 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***

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|  | **Type of Record** | **Retention Period** | **Action** | **Citation** |
| 23.1 Strategy |
| 23.1.1 | Development and establishment of the institution's alumni relations management policies. | Superseded + 5 Years | Archive | Internal Guidelines |
| 23.2 Alumni Data Administration |
| 23.2.1 | Personal data of individual alumni | While current | Review.Core data to be archived. | **1998 c.29;****KCL Case Study** |
| 23.2.2 | Anonymous summary statistics | Current Year + 10 Years | Archive | JISC |
| 23.3 Alumni Communications |
| 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 |
| 23.4 Alumni Relations Events |
| 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 |

### 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.

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|  | **Type of Record** | **Retention Period** | **Action** | **Citation** |
| 24.1 Fundraising Strategy |
| 24.1.1 | Formulation of plans for the implementation of the institution's fundraising strategy. | Superseded + 5 Years | Review | JISC |
| 24.2 Fundraising Campaigns |
| 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** |

### Government Relations

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

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | **Type of Record** | **Retention Period** | **Action** | **Citation** |
| 25.1 Government Communications |
| 25.1.1 | Records containing information that institutions are legally obliged to provide to the funding Bodies | Current Year + 5 Years | Archive | **LSC** |
| 25.1.2 | Inspection Reports | Current Year + 5 Years | Archive | **OFSTED** |
| 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 |
| 25.2 HE Sector Legislation Development |
| 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 |

### 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.

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|  | **Type of Record** | **Retention Period** | **Action** | **Citation** |
| 26.1 Higher Education Regulator Communications |
| 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 |

### 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.

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| --- | --- | --- | --- | --- |
|  | **Type of Record** | **Retention Period** | **Action** | **Citation** |
| 27.1 Strategy |
| 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 |
| 27.2 Higher Education Sector Communications |
| 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 |
| 27.3 Higher Education Sector Relations Events |
| 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 |
| 27.4 Higher Education Sector Organisations Membership Administration |
| 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 |  | **1980 c.58** |
| 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 |

### 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.

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|  | **Type of Record** | **Retention Period** | **Action** | **Citation** |
| 28.1 Policy |
| 28.1.1 | Development and establishment of the institution's public relations policies. | Superseded + 5 Years | Archive | Internal Guidelines |
| 28.2 Public Communications |
| 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 |
| 28.3 Public Relations Events |
| 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 |
| 28.4 Corporate Identity and Brand |
| 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 |
| 28.5 Sponsorship (includes sporting events) |
| 28.5.1 | Negotiation of Oxford Brookes University’s corporate sponsorship of public events | End of sponsor relationship + 6 years | Review | JISC |
| 28.6 Donations |
| 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 |

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| 28.7 Honorary Awards |
| 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 |

### Media Relations

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

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|  | **Type of Record** | **Retention Period** | **Action** | **Citation** |
| 29.1 Media Communications |
| 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 |

### 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***.

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|  | **Type of Record** | **Retention Period** | **Action** | **Citation** |
| 30.1 Community Relations Strategy |
| 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 |
| 30.2 Community Communications |
| 30.2.1 | Enquiries from members of the local, regional or business community and the responses provided | Last action + 2 years | Review | **2000 Freedom of Information Act** |
| 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 businesscommunity, the internal handling of those complaints and the responses provided | Last action + 1 year | Review | JISC |
| 30.3 Community Relations Events |
| 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 |

### Publishing

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

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|  | **Type of Record** | **Retention Period** | **Action** | **Citation** |
| 31.1 Publication Management |
| 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 |

### 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***.

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|  | **Type of Record** | **Retention Period** | **Action** | **Citation** |
| 32.1 Retail Outlet Promotion |
| 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 |
| 32.2 Retail Outlet OperationIn 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 servicethe 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 | **1980 c.58;****HMCE 700/21** |
| 32.3 Retail Outlet Customer Relations |
| 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 ofresponses  | 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 | **1980 c.58** |

### 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.

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|  | **Type of Record** | **Retention Period** | **Action** | **Citation** |
| 33.1 Commercial Service Quality Management |
| 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 |
| 33.2 Commercial Service Promotion |
| 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 |
| 33.3 Commercial Service DeliveryIn addition to the records below, retention requirements for records of individual services should be determined on a case by case basis, taking into consideration:the type of servicethe legal and regulatory framework for particular services.The need to manage personal data in line with the Data Protection Act 1998. |
| 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** |
| 33.4 Commercial Service Customer Relations |
| 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 | **1980 c.58** |

### 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.

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|  | **Type of Record** | **Retention Period** | **Action** | **Citation** |
| 34.1 Related Company Proposal |
| 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 |
| 34.2 Related Company Formation |
| 34.2.1 | Formation of a related company | Life of Company + 10 years | Archive | JISC |
| 34.3 Related Company Management |
| 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 |
| 34.4 Related Company Review |
| 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 |
| 34.5 Related Company Disposal |
| 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 |

### Students Union Relations

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

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| --- | --- | --- | --- | --- |
|  | **Type of Record** | **Retention Period** | **Action** | **Citation** |
| 35.1 Students Union: Constitution Review and Approval |
| 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 | **1994 c.30** |
| 35.2 Students Union: Funding |
| 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 |
| 35.3 Students Union: Financial Monitoring |
| 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 | **1994 c.30** |
| 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 |
| 35.4 Students Union: Operations Monitoring |
| 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 | **1994 c.30** |
| 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, *Study of the Lifecycle, Part 2: HEI Records Retention Schedule* |
| 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