

UCL Records Retention Schedule

Introduction

A records retention schedule is an essential component of an efficient and effective records management system. It provides a basis for consistent action on records and eliminates the need for individuals to make all decisions about how long to keep the records they use.

Consistently applied, the Schedule will help protect UCL's interests by ensuring its records are retained for as long as they are needed, to meet operational needs and legal obligations - particularly under the Freedom of Information and Data Protection Acts - and demonstrate accountability to students, regulators, funders and other stakeholders. Retaining records for only as long as they are needed also aids efficient use of space and minimises storage costs.

The Schedule applies to all records, irrespective of format and medium. It therefore covers both paper and electronic records, including emails and audio-visual materials.

The Schedule is based on the model drawn up for HEIs by JISC and takes a functional approach rather than following UCL's organisational structure. This means that some groups of records are created and maintained by more than one department.

The main types of records that UCL creates, receives or maintains as part of its activities are listed. Records should be held for the period given in the Retention column, based on the event in the Trigger column. If the retention is '0', the records should be destroyed immediately following the Trigger event. The abbreviation 'M' is used for months, 'AY' for academic year, and 'FY' for financial year; otherwise the figure indicates calendar years. Where the designation 'REVIEW' appears, records should be offered to the Head of Records for appraisal of their archival value. The Citation column provides the legal or other basis for retention. Citation references are listed in full at the end of the Schedule.

The Schedule is based on the model drawn up for HEIs by JISC and takes a functional approach rather than following UCL's organisational structure. This means that some groups of records are created and maintained by more than one department. The following functional headings are used:

1 Teaching

- Taught programme development and delivery
- Course delivery and assessment
- Examinations and appeals

2 Research

- Data
- Administration and quality management

3 Student administration

- Recruitment and admissions
- Student file management
- Student support
- Student accommodation
- Student discipline
- Awards and references
- Management information

4 Estate management

- Property management
- Property maintenance
- Environmental management

5 Finance

- Financial accounting
- Payroll and pension administration
- Student finance
- Procurement

6 Human resources

- Workforce planning and development

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Recruitment and selection
Personal file management

7 Information

IT systems
IT security
Information management and compliance
Library, museum and archive services

8 Corporate affairs

Governance
Strategic planning and performance management
Legal affairs management
Insurance
Health and safety management
Survey management
Immigration compliance: Points-Based Immigration Scheme

9 External and public relations

Public relations
Media relations
Marketing
External relations
Alumni relations and fundraising

The Schedule applies only to the official or master copy: duplicates and convenience copies, including back-ups, should be disposed of once reference use has ended, and always *before* the end of the retention period. This should be borne in mind particularly for common types of records, where official copies are stored by HR, Student & Registry Services or Finance & Business Affairs: there is no need to keep local copies when these are held centrally.

Ephemera

Some records have no significant operational, informational or evidential value and can be destroyed as soon as they are no longer useful. These should be disposed of promptly. Examples of such material are given below:

- Working papers whose contents have been incorporated into later drafts and which are not required to support them
- Notices of meetings and other events, and acceptances or apologies
- Transmission documents: letters, fax cover sheets, emails, routing or compliments slips and other items which accompany documents but do not add any value to them
- Message slips
- Personal diaries and address books
- Superseded address or distribution lists
- Requests for routine information such as maps and travel directions, brochures or prospectuses
- Requests for, and confirmations of, reservations for internal or external services, such as meeting rooms, car parking spaces, and travel and accommodation, when invoices have been received
- Duplicate documents, such as cc emails, unaltered drafts, snapshots or extracts from databases, and day files
- Published material which is obsolete or superseded, such as trade magazines, posters, prospectuses, catalogues, manuals, directories and forms.

**Special Collections
UCL Library Services
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Ref	Record group	Examples	Trigger	Retention	Citation
1	Teaching				
1.1	Taught programme development and delivery				
1.1.1	Development of teaching strategy and its implementation		When superseded	10	JISC
1.1.2	Teaching quality and standards management	Audits and reviews of performance, and responses to results Analyses of performance against implementation of strategy	Closure	5	JISC
1.1.3	Teaching development and review	Records of development and formal review of curriculum, programmes and courses	Life of course / programme	10 REVIEW	JISC
1.1.4	Teaching approval and accreditation	Records of approval / accreditation from profession or statutory bodies	Life of course / programme	0	UCL
1.1.5	Teaching preparation and delivery	Development of taught course materials	Life of course / programme	0	UCL
1.1.6	Taught course review	Records used to inform continuing programme development, including statistics, feedback and internal reviews	Life of course / programme	5	JISC
1.2	Course delivery and assessment				
1.2.1	Lecture and tutorial class lists		AY	3	JISC
1.2.2	Timetables		AY	1	JISC
1.2.3	Attendance registers		AY	1	UCL
1.2.4	Submission of coursework	Record of which students have submitted coursework for summative assessment	Board of Examiners meeting	6M REVIEW	UCL
1.2.5	Taught course assessment	Assessed research projects Dissertations Coursework and mark sheet Essays Assignments Exam scripts	Board of Examiners meeting	1 REVIEW	UCL
1.2.6	Taught course assessment: graduating cohort subject to RIBA validation visit	All student work (not only coursework)	Board of Examiners meeting	2 REVIEW	RIBA
1.2.7		Record of total mark and grade awarded for each course, or for projects or dissertations Notification of results to students, sponsors and funding bodies	PERMANENT	PERMANENT	UCL
1.2.8		External examiners' reports	AY	5	JISC

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Ref	Record group	Examples	Trigger	Retention	Citation
1.2.9	PhD assessment	Thesis submitted for research degree (successful students) Note: See https://www.ucl.ac.uk/students/exams-and-assessments/research-assessments/format-bind-and-submit-your-thesis-general-guidance	PERMANENT	PERMANENT	UCL
1.2.10		Thesis submitted for research degree (unsuccessful students)	AY	1	UCL
1.2.11	Marking non-assessed coursework	Annotated non-assessed coursework	AY	6M	UCL
1.2.12	Special circumstances	Records relevant to special circumstances, such as interruption, deferral, and extenuating circumstances	AY	7	1980 c 58 s 5
1.2.13	Obtaining student feedback	Summaries of course evaluation questionnaires	AY	5	UCL
1.2.14	Obtaining student feedback	Individual responses	AY	3M	UCL
1.3	Examinations and appeals				
1.3.1	Development and establishment of assessment and examination rules and procedures		AY	10	JISC
1.3.2	Examinations process	Selection and appointment of external examiners Liaison with external examiners on administrative matters Training for invigilators Control of examination papers and scripts Record of which scripts have been sent to which examiner and which external examiner	AY	3	UCL
1.3.3	Exam papers		AY	PERMANENT One copy of each to Head of Records	UCL
1.3.4	Enrolment	Form sent to students intending to take examination, completed by student Entry on database / spreadsheet recording examination enrolments	Board of Examiners meeting	6M	UCL
1.3.5	Monitoring examinations	Examination attendance forms Invigilation reports	AY	1	JISC
1.3.6	Student academic appeals	All records generated by appeal process	Closure	6 REVIEW	1980 c 58 s 5

2	Research	
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Ref	Record group	Examples	Trigger	Retention	Citation
2.1	Data	Note: Notwithstanding this Schedule, clinical trial records must be kept for a longer period if required by the funder.			
2.1.1	Records of interventional (IMPs, blood, devices, radiation beyond standard clinical practice, surgical intervention) and non-interventional clinical trials used in regulatory submissions except ATMPs	Trial master file Investigator site file Information referred to in SI 2005/50 reg 7(3)(a), 7(5) and 7(6) Information specified in SI 2005/50 reg 8(1) and Schedule Part 6 Section B Serious adverse events Lab books	End of trial	15	2003/63/EC Annex 1 Pt 1 5.2(c) SI 2004/1031 reg 31A(7) SI 2005/50 regs 7(1)(g), 7(4), 8(3)(b), 12A(1)(a) CPMP 5.5.12
2.1.1	Records of interventional (IMPs, blood, devices, radiation beyond standard clinical practice, surgical intervention) and non-interventional clinical trials used in regulatory submissions except ATMPs: no marketing applications in the EU pending or contemplated	Trial master file Investigator site file Information referred to in SI 2005/50 reg 7(3)(a), 7(5) and 7(6) Information specified in SI 2005/50 reg 8(1) and Schedule Part 6 Section B Serious adverse events Lab books	Last marketing authorisation	2	2003/63/EC Annex 1 Pt 1 5.2(c) SI 2004/1031 reg 31A(7) SI 2005/50 regs 7(1)(g), 7(4), 8(3)(b), 12A(1)(a) CPMP 5.5.12
2.1.2	Records of interventional (IMPs, blood, devices, radiation beyond standard clinical practice, surgical intervention) and non-interventional clinical trials not used in regulatory submissions except ATMPs	Trial master file Investigator site file Information referred to in SI 2005/50 reg 7(3)(a), 7(5) and 7(6) Information specified in SI 2005/50 reg 8(1) and Schedule Part 6 Section B Serious adverse events Lab books	End of trial	5	SI 2004/1031 reg 31A(7) SI 2005/50 regs 7(1)(g), 7(4), 8(3)(b), 12A(1)(a) CPMP 5.5.12
2.1.3	Records of clinical trials of ATMPs, including viral vectors, whether or not used in regulatory submissions	Trial master file Investigator site file Traceability records Serious adverse events Lab books	Expiry of product	30	SI 2012/1916 Sch 4 para 27 CPMP 5.5.12 ENTR 7.3
2.1.4	Records of clinical or public health studies funded by MRC		End of research	20	MRC GRP B.3
2.1.5	Records of other research funded by MRC	Primary data	End of research	10	MRC GRP B.3
2.1.6	Records of research funded by the European Regional Development Fund, operating under State Aid rules		Grant of last aid	10	ERDF
2.1.7	Animal research	Project licences Personal licences ASPA inspectors' reports Information mentioned in 2010/63/EC art 30.1 Records of regulated procedures Health records of animals Records of the source, use and disposal of protected animals used in procedures Lab books	End of research	5	1986 c 14 ss 4(5), 5E(1), 18(2E), Sch 2C para 8(b) Home Office guidance

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Ref	Record group	Examples	Trigger	Retention	Citation
2.1.8	Animal research	Records of AWERB advice provided under 2010/63/EC art 27.1 Records specified in 1986 c 14 s 5G(2) Individual history files of dogs, cats or NHPs which have died or have been set free or re-homed	End of research	3	1986 c 14 Sch 2C paras 6(4), 9(1)(e) 1986 c 14 s 5G(1)
2.1.9	Records of other research	Research data not covered by specific entry in this schedule, including lab books	End of research	10 REVIEW	JISC
2.2	Administration and quality management				
2.2.1	Applications for ethical approval	High-risk studies	End of research	6	UCL
2.2.2	Applications for ethical approval	Minimal-risk studies	End of research	1	UCL
2.2.3	Administrative records of clinical or public health studies funded by MRC	Protocol, consent procedure, participants, adverse events	End of research	30	MRC PIMR 2000/03 7.1.2
2.2.4	REF staff data	Discussions of staff selection strategies and decisions (SSRG and REFSG papers) Staff eligible for REF and those selected Appeals against non-selection Individual staff circumstances Output data Research environment data and statements	REF submission	6	UCL
2.2.5	REF staff data - original notes	Forms and notes relating to individual staff circumstances	REF submission	1	UCL
2.2.6	Full REF submission		REF submission	12	UCL
2.2.7		REF impact case studies	PERMANENT	PERMANENT	UCL
2.2.8		REF preparations report	PERMANENT	PERMANENT	UCL
2.2.9	External clinical quality assurance - pathology	Returns Correspondence Ethical approval and consent Reference samples of material capable of long-term storage	AY	10	RCP 166
2.2.10		Samples of degradable pathology materials	Assessment	1M (if possible)	RCP 168
2.2.11	Research misconduct	Case files on the investigation and resolution of allegations of research misconduct	Closure	6	1980 c 58 s 5
3	Student administration				

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Ref	Record group	Examples	Trigger	Retention	Citation
3.1	Recruitment and admissions				
3.1.1	Enquiries from prospective students	Correspondence with prospective students which includes specific admission guidance	AY	1	JISC
3.1.2	Determining and applying admissions criteria		AY	10	JISC
3.1.3	Processing applications from UCAS, transfers from other universities, confirmation and clearing Successful students: transfer to student file	Applications documentation including UCAS form data, interview notes, correspondence with applicant, applications rejected at confirmation stage Documentation for rejected applications at offer stage Declined and withdrawn applications Logs of applications for postgraduate study Transcripts of previous study References Interview notes Recommendations to admit or reject Outcome letters Response from student	End of admissions cycle	1	JISC
3.1.4	Confirming student fulfils admission / progression criteria	Documents confirming prior qualifications, English language proficiency or other requirements	AY	1Y	UCL
3.1.5	Background checks	Enhanced disclosure consent, certificate of disclosure, medical certificate, outcome letters	Completion of check	Maximum 6M	CRB 3.4
3.1.6	Medical checks	Medical certificates Outcome letters	Graduation	1	UCL
3.2	Student file management				
3.2.1	Creation and preservation of permanent core student record	Record of marks, grades and courses completed	PERMANENT	PERMANENT	UCL
3.2.2	Creating a student record	Information about individual students not covered by specific entry in this schedule	Graduation	1	UCL
3.3	Student support				
3.3.1	Careers advice	Contact details Interview dates Record of employment	AY	1	UCL

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Ref	Record group	Examples	Trigger	Retention	Citation
3.3.2	Disability support for individual students	Information from individual student Information from schools, institutions, doctors, access centres, educational psychologists or other professionals who have assessed the student Documents informing relevant academic and administrative staff about special needs of particular students DSA records	Last contact	6 REVIEW	UCL
3.3.3	Counselling students	Student information form and confidentiality agreement Database entry on presenting problems and use of service Voluntary clinical outcomes feedback forms Letters to academic staff involved with the student	Last contact	6 REVIEW	BACP recommendation
3.4	Student accommodation				
3.4.1	Unsuccessful applications and applications not taken up		AY	1	UCL
3.4.2	Successful applications	Applications Tenancy agreements and terminations Inventories Transfer forms	AY	6	UCL
3.4.3	History of tenancy	High-level record	AY	6	UCL
3.4.4	Photographs	Images of students in UCL accommodation used for identification and related accommodation purposes	Leaving accommodation	1	UCL
3.5	Student discipline				
3.5.1	Informal proceedings	Records of disciplinary cases handled by departments	Graduation	1	UCL
3.5.2	Formal proceedings	Records of disciplinary cases handled by Registrar, Discipline Committee, Discipline Review Body, including outcome letter Notice of appeal, reports and correspondence	AY	6 REVIEW	1980 c 58 s 5
3.6	Awards and references				
3.6.1	Registering for graduation	Student registration Confirmation that student has met all regulations for degree award and listing degree classification	Graduation	1	UCL
3.6.2	Notification of awards to students and issue of certificates		AY	1	JISC

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Ref	Record group	Examples	Trigger	Retention	Citation
3.6.3	Sending award certificates to students who do not attend award ceremonies	Record of mailing	Graduation	10	UCL
3.6.4	Informing professional bodies of accreditation	List of graduates Letter from accrediting body confirming graduate's accreditation	Graduation	1	UCL
3.6.5	Providing references for undergraduates and taught postgraduates	Request Letter of reference	AY	5	UCL
3.6.6	Providing references for research postgraduates	Request Letter of reference	AY	10	UCL
3.6.7	Providing transcripts	Transcript request and response	AY	1	JISC
3.7	Management information				
3.7.1	Compiling the HESA Student Return and HESA Continuing Education Student Return	Electronic file providing information to be processed for entry in the HESA template Record of checks / changes / script iterations / other refinements before submission to HESA	AY	5	UCL
3.7.2		Electronic file providing UCL student information in the HESA template for the Student Return	AY	20	UCL
3.7.3	Compiling T-grant returns	Electronic file providing information to be processed Record of checks / changes / script iterations / other refinements Electronic file providing information to be processed to fit the required format Record of checks / changes / script iterations / other refinements before submitting Minor Volume indicators	AY	5	UCL
3.7.4	HESA destination of leavers survey	Completed DLHE forms Results from individual surveys	AY	3	HESA recommendation

4	Estate management				
4.1	Property management				
4.1.1	Acquisition of property by purchase, and disposal	Land Registry records Valuations Surveys	Disposal of property	12 REVIEW	1980 c 58 s 8
4.1.2	Evidence of title	Title deeds	Disposal of property	0	JISC
4.1.3	Acquisition of property by lease	Lease	End of lease	15	1980 c 58 s 14B
4.1.4	Negotiations for properties not acquired		End of negotiations	6	1980 c 58 s 2
4.1.5	Leasing-out to third parties	Subletting or wayleave agreements	End of lease	6	1980 c 58 s 2

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Ref	Record group	Examples	Trigger	Retention	Citation
4.1.6		Subletting or wayleave agreements executed as deeds	End of lease	12	1980 c 58 s 8
4.1.7	Property access controls	Key registers Signing-in and absence books Security logs	Closure	2	JISC
4.1.8		Security passes Swipe cards Parking permit records	Expiry	1	JISC
4.1.9	Security surveillance of property	CCTV images	Creation	18 days	UCL CCTV 13.3
4.1.10	Security incidents, and action taken		Closure	1	JISC
4.1.11	Enforcement inspections	Fire certificates	When superseded	0	UCL
4.1.12	Evaluation of options for meeting premises requirements	Capacity survey reports Space surveys and audits	Completion of next survey	5	JISC
4.2	Property maintenance				
4.2.1	Major works	Project files Contract for building works Contractor review reports	End of works	15 REVIEW	1980 c 58 s 14B(1)
4.2.2	Minor works		End of works	6	UCL
4.2.3	Statutory maintenance, inspection and testing	Inspection, risk assessment and testing of items and systems including lifts, boilers, fire systems, alarms and water hygiene	Completion	6	UCL
4.2.4	Statutory maintenance, inspection and testing	Occupational Hygiene Reports Noise and lighting surveys and assessments Electrical inspections and testing	Completion	5	JISC
4.2.5	Health and safety and operational and maintenance files		Disposal of property (Transfer to new owner)	0	SI 2015/51 reg 4(7)
4.2.6	Planning and building control	Planning and building regulations applications and approvals	Disposal of property or expiry of consent	0	JISC
4.2.7	Assessment, monitoring or removal of asbestos		Completion	5	SI 2012/632 reg 13(3)
4.3	Environmental management				
4.3.1	Monitoring use / consumption of energy; Reviews of energy use	Meter readings	Completion	5Y	JISC
4.3.2		Display Energy Certificates	Expiry	3	UCL
4.3.3		Energy Performance Certificates	Expiry	10	UCL
4.3.4		Air conditioning system inspection reports	When superseded		SI 2012/3118 reg 20(1)
4.3.5	Environmental audits		Completion of audit	5	JISC
4.3.6	Waste management	Non-hazardous waste: transfer notes	Creation	2	SI 2011/988 reg 35(6)

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Ref	Record group	Examples	Trigger	Retention	Citation
4.3.7		Hazardous waste: consignment notes	Creation	5	SI 2005/894 reg 48(6A)(a)
4.3.8		Hazardous waste registration	Expiry	1	UCL
4.3.9		Registers of confidential waste removed for disposal by contractors	Closure	3	UCL
4.3.10	Water	Trade effluent consent	While scheduled activities are current	While scheduled activities are current	UCL
4.3.11	Emissions management	Records associated with sources covered by the EU Emissions Trading Scheme	Creation	10	601/212 66.1
4.3.12		Records associated with sources not covered by the EU Emissions Trading Scheme: records specified in Part 7 of the CRC Energy Efficiency Scheme Order 2010	End of phase	7	SI 2010/768 art 57(2)
4.3.13		Records associated with the CRC Energy Efficiency Scheme: position in performance table for first year of participation; first footprint and annual reports	As long as membership is held	As long as membership is held	SI 2010/768 art 57(3)
4.3.14	Radioactive substances: permitting Note: Permits and required records must be kept past the time when all radioactive substance activity has ceased until <i>surrender</i> of the permit	Permits issued under reg 13 of the Environmental Permitting (England and Wales) Regulations 2010 Records required to be made by permits Quantity and location of radioactive substances	As long as required by EA	As long as required by EA	EA 2011 3.1.1(d) EA 2012 4.1.1(d)
4.3.15	Radioactive substances: general	Maintenance of respiratory protective equipment Monitoring of designated areas Testing of sealed sources and containers Investigation of loss or theft of radioactive substances where no occurrence occurred Summaries of dose records Immediate reports following investigation of protective equipment	Creation of record or disposal of substance	2	SI 2017/1075 regs 11(2)(b), 19(8), 20(5)(c), 28(3)(b), 29(b), 31(5)
4.3.16	Radioactive substances: investigation of loss or theft / dose limitation	Records of investigations following a notifiable occurrence Detailed reports of investigation of PPE Records of decision-making in relation to dose limitation	Creation	30, or until age 75, whichever is later	SI 2017/1075 reg 31(5), Sch 3 para 15

5	Finance	
5.1	Financial accounting	

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Ref	Record group	Examples	Trigger	Retention	Citation
5.1.1	Finance strategy development and management planning		Completion	10	JISC
5.1.2	Financial procedures manual		When superseded	10	JISC
5.1.3	Annual accounts		FY	7	1970 c 9 s 34 1980 c 58 ss 2, 5
5.1.4	Records of capital assets and decisions to dispose of them	Inventory Asset register Disposal forms	FY	7	1970 c 9 s 34 1980 c58 ss 2, 5 1994 c 23 s 77(1)
5.1.5	Management accounting	Monitoring income and expenditure against annual operating budgets Action to deal with variances Analyses of internal deployment of financial resources	FY	1	JISC
5.1.6	Budgeting	Preparation of annual operating budget	FY	1	JISC
5.1.7	Preparation and filing of tax returns; VAT accounting		FY	7	1970 c 9 s 34 1994 c 23 Sch 11 para 6(3)
5.1.8	Administration of bank accounts	Bank statements Standing orders Direct debit mandates Paying-in and withdrawal slips	FY	7	1970 c 9 s 34 1980 c 58 ss 2, 5
5.1.9	Purchases and incoming payments	Invoices Credit notes Delivery notes Income and expenditure batches Receipts BACS reports Till rolls Petty cash records Fees for tuition and accommodation	FY	7	1970 c 9 s 34 1980 c 58 ss 2, 5 1994 c 23 s 77(1) HMRC 2.4
5.1.10	Expenses	Claim forms and receipts Payment forms	FY	7 REVIEW	1970 c 9 s 34 1980 c 58 ss 2, 5
5.1.11	Research funding	Allocations from statutory funding councils Research project applications, award letters, invoices	FY	7	1980 c 58 s 5
5.1.12	Internal accounting	IDTs Journal transactions	FY	1	JISC
5.1.13	Investment management	Fund managers' reports Records of purchase and sale of investments	FY	7	1970 c 9 s 34 1980 c 58 s 5
5.2	Payroll and pension administration				
5.2.1	Calculation and payment of individual salaries and other payments and deductions	Contract copies and variations Union subscriptions	FY	7	1980 c 58 s 5

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Ref	Record group	Examples	Trigger	Retention	Citation
5.2.2	Employer PAYE records not required to be sent to HMRC under SI 2003/2682	Wages sheets Records of payments and deductions Payslip copies	FY	3	SI 2001/1004 Sch 4 paras 7(15), 26(1)(a) SI 2003/2682 reg 97(1)
5.2.3	Statutory Sick Pay	Self-certification forms Departmental returns	FY	3	UCL
5.2.4	Statutory Maternity Pay	Self-certification forms Departmental returns	FY	3	SI 1986/1960 reg 26(1)
5.2.5	Employer and employee pension scheme contributions; Individual membership of pension schemes	Annual returns Application forms Expression of wish forms Opt-out forms	End of employment	75	1980 c 58 s 32
5.3	Student finance				
5.3.1	Administering UK student loans: cross-checking with Student Loan Company whether applicants are registered with UCL and annually cross-checking with SLC whether they have a correct record of students' year and programme	Download of applicants from SLC Information from SLC on year and programme	FY	7	1980 c 58 s 5
5.3.2	Applications for financial aid / hardship funds	Correspondence with student Completed application form Evidence of financial position Outcome letter Minutes of decision-making body Annual spreadsheet of allocated funds	FY	7 REVIEW	1980 c 58 s 5
5.3.3	Allocating scholarship, grants, bursaries and prizes	Records generated by assessment of applications, including student's proposal, application, correspondence, committee minutes and outcome letter Reports of the project funded by the grant or bursary	FY	6 REVIEW	JISC
5.3.4	Unsuccessful applications for financial assistance		FY	6M	UCL
5.4	Procurement				
5.4.1	Supplier tendering - evaluation of prospective suppliers	Pre-qualification questionnaires and scores	Award of contract	1	JISC
5.4.2	Supplier tendering - invitation to tender stage	ITT Specifications Award criteria Tenders and quotations	End of contract	6 REVIEW	HMRC 2.4
5.4.3	Evaluation of tenders and negotiations with prospective suppliers - successful bids	Evaluation scores Award letters Form of contract OJEU Contract Award Notices	End of contract	6	1980 c 58 s 5

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Ref	Record group	Examples	Trigger	Retention	Citation
5.4.4	Evaluation of tenders and negotiations with prospective suppliers - unsuccessful bids	Evaluation scores Correspondence	Award of contract	1	JISC
5.4.5	Supply contract management	Contract variations Performance monitoring	End of contract	6 REVIEW	HMRC 2.4
5.4.5	Documentation of progress and decisions in public procurement		Award of contract	3	2015/102 reg 84(9)

6	Human resources				
6.1	Workforce planning and development				
6.1.1	Assessment of workforce requirements	Development plans Turnover projections	Completion	3	JISC
6.1.2	Terms and conditions	T&Cs for specific groups	Completion	5	JISC
6.1.3	Remuneration and reward	Pay scales	Completion	10	JISC
6.1.4	Training and development	Strategies, programmes and plans Anonymised feedback Identification, assessment and selection of training options Course development records	Completion	5	JISC
6.1.5	Training and development: individual feedback	Feedback forms	AY	1	JISC
6.1.6	Job evaluation	Role analyses HERA scoring database Interview records Outline role profiles	When superseded	5 REVIEW	JISC
6.1.7	Induction	Induction programmes	When superseded	5	JISC
6.1.8	Recruitment effectiveness	Recruitment monitoring forms	AY	1	JISC
6.1.9	Agreements with and recognition / derecognition of trade unions	Procedure agreements	End of agreement	10 REVIEW	CIPD
6.1.10	Communication, consultation and negotiation with trade unions	Minutes Correspondence	AY	20	JISC
6.2	Recruitment and selection				
6.2.1	Authorisation to recruit to a post, advertising of vacancies and handling of unsuccessful applications Successful candidates: transfer to employee personal file	Request to advertise Authorisation form Advertisement Further particulars Enquiries Applications Interview notes Test results References	AY	1	2010 c 15 s 118(1) UKBA
6.2.2	Recruitment and selection of Officers of UCL and established chairs	Chair Files	PERMANENT	PERMANENT	UCL
6.3	Personal file management				

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Ref	Record group	Examples	Trigger	Retention	Citation
6.3.1	Employee personal file: application, changes in terms and conditions, performance, induction and probation, training, remuneration and rewards, posts held, pre-employment health screening, protective equipment, termination of employment (resignation, retirement, dismissal, redundancy) EXCEPT records falling under 6.3.2-6.3.4	Advertisement Further particulars Interview notes Test results Application References Signed contract, variations and extensions CRB check (retain only date and outcome) Probation reports Appraisals Performance reviews Bonuses Long service awards Honoraria Job descriptions and person specifications Health declaration forms Exit interview reports	PERMANENT	PERMANENT	UCL
6.3.2	Documentation of working hours	Timesheets Overtime sheets	AY	2	SI 1998/1833 reg 9
6.3.3	Absence	Leave cards Sick notes Return to work forms and interview notes Authorisation for special leave	AY	3	1980 c 58 s 5
6.3.4	Discipline and grievance	Disciplinary files (proceedings against an employee) Grievance files (grievances raised by an employee)	Closure	6	UCL

7	Information				
7.1	IT systems				
7.1.1	Information strategy		PERMANENT	PERMANENT	
7.1.2	Initial development, modification and maintenance of IT systems	Network configuration and maps Change control documents	Life of system	5	JISC
7.1.3	Systems development projects	Project management documents	End of project	5 REVIEW	JISC
7.1.4	Monitoring and testing of IT systems	Network alerts	AY	1	JISC
7.1.5	Monitoring of server activity	Log files	AY	6M	UCL
7.1.6	User requests for technical and application support, and reporting of problems	Call logs Incident reports Job sheets Emails to helpdesks	When resolved	1	JISC
7.1.7	Management of data storage, including backup, archiving	Server maintenance log sheets Backup reports Registers of backup tapes	AY	1	JISC
7.1.8	Requests to recover data from backup or archive		Closure	3M	JISC
7.1.9	Licensing	Licence agreements for live systems	When superseded		JISC
7.1.10	Security arrangements for IT systems	Requests for SSL certificates	Life of system	5	JISC

UCL Records Retention Schedule

Ref	Record group	Examples	Trigger	Retention	Citation
7.1.11	User account management	Registration forms Requests to close accounts	Expiry of account	5	JISC
7.1.12	Monitoring use and breaches of IT systems	Monitoring forms Case files	AY	6	
7.1.13	Connection of third party equipment to UCL networks	Departmental Network Administrators' authorisations	Termination of connection	6	JISC
7.1.14	Connection of third party equipment to UCL networks: IP address allocation	DHCP logs	Date of allocation	6M	CECN 2.8
7.1.15	Web pages		Date of going live	6	JISC
7.2	IT security				
7.2.1	Creating user name, password and email account	Registration forms Auditable log of activity within Identity Management Service	AY	6M	UCL
7.2.2	Providing ICT services across networks	Audit and exception files produced during network and email use History files produced during network and email use Usage reports Network traffic logs Report of network traffic information	Date of creation	6M	UCL
7.2.3	Maintaining network security	IT security problem reports	AY	2	UCL
7.2.4		Security analysis reports	AY	5	UCL
7.2.5		Record of equipment which regularly causes difficulty on network, with details of users	AY	1	UCL
7.3	Information management and compliance				
7.3.1	Copyright permissions	Copyright declaration forms CLA audits Logs of copying and recording carried out under licence	AY	6	1980 c 58 s 5
7.3.2	Applications for patents	Patent applications Certificates of grant Supplementary certificates Extensions	Life of right	6	UCL
7.3.3	Applications for registered trade marks	Applications Trade mark certificates	PERMANENT	PERMANENT	UCL
7.3.4	Compliance with Data Protection Act, Freedom of Information Act and Environmental Information Regulations	Request logs Case files Notification forms and correspondence with ICO	AY	3 REVIEW	JISC
7.3.5	Determining recordkeeping requirements for business activities and departments	Business process maps Survey and audit records	AY	6	UCL
7.3.6	Classification of information	Business classification schemes File plans Metadata schemes	AY	6	UCL
7.3.7	Retention schedules		PERMANENT	PERMANENT	JISC

UCL Records Retention Schedule

Ref	Record group	Examples	Trigger	Retention	Citation
7.3.8	Authorisation for disposal of records		AY	25	JISC
7.3.9	Vital records schedules		While active	While active	UCL
7.3.10	Access to records	Request and issue records	AY	1	JISC
7.4	Library, museum and archive services				
7.4.1	Documentation of collections	Collection policies Accessions registers Catalogues and box lists Selection criteria Depositor / donor agreements Indexes Disposal authorisations Loan and object movement records	PERMANENT	PERMANENT	JISC
7.4.2	Location registers		When superseded	0	JISC
7.4.3	Registration of users		End of registration	1	
7.4.4	Use of collections	Requests for access Enquiries	AY	1Y	JISC
7.4.5	Exhibition records (exhibitions held by UCL)	Plans Guides Catalogues	PERMANENT	PERMANENT	UCL
7.4.6	Conservation records		PERMANENT	PERMANENT	JISC
7.4.7	Loans	Records of inward and outward loans to external organisations of library, museum and archive objects for exhibition, conservation or photography	PERMANENT	PERMANENT	UCL
7.4.8	Library loans	Library user loan history	End of registration	1	UCL
7.4.9	Inter-library loan records	Request forms	AY	1Y	UCL

8	Corporate affairs				
8.1	Governance				
8.1.1	Charter		PERMANENT	PERMANENT	UCL
8.1.2	Formal committees	Agenda Minutes Supporting papers	PERMANENT	PERMANENT	UCL
8.1.3	Ethics review committees, e.g. Research Ethics Committee, Biobank Ethical Review Committee	Agenda Minutes Supporting papers	AY	25 REVIEW	SI 2004/1031 reg 6(5)
8.1.4	Other committees, including Board of Examiners	Agenda Minutes Supporting papers	AY	6 REVIEW	1980 c 58 s 5
8.1.5	Notices of meetings		AY	1	
8.1.6	Register of interests		End of employment	6	1980 c 58 s 5
8.1.7	Policy development - key records		When superseded	10	JISC
8.1.8	Policy development - working papers		AY	1	JISC
8.1.9	Procedure development		AY	1	JISC

UCL Records Retention Schedule

Ref	Record group	Examples	Trigger	Retention	Citation
8.1.10	Organisational restructuring	Planning statements Organisation plans Organisation charts	AY	5 REVIEW	JISC
8.2	Strategic planning and performance management				
8.2.1	Development of corporate strategy and planning	Corporate Plan Annual Review UCL White Paper	PERMANENT	PERMANENT	UCL
8.2.2	Development of local strategy and planning	CSS strategies Divisional, faculty, departmental Strategic Plans	AY	6 REVIEW	UCL
8.2.3	Corporate performance management	Analyses of performance against strategic plan Audits and reviews of strategic planning and performance and responses	AY	6	UCL
8.2.4	Internal and external audit reports		AY	5	JISC
8.2.5	Risk management	Risk assessment reports Contingency plans Business recovery plans Disaster plans Emergency planning exercise documentation	AY	10	UCL
8.2.6	Academic quality management and enhancement	Internal quality review reports and associated records	AY	7	UCL
8.3	Legal affairs management				
8.3.1	Contracts under seal	Contracts Agreements Contractor review reports	End of contract	+ 12Y REVIEW	1980 c 58 s 5
8.3.2	Contracts not under seal	Contracts Agreements Contractor review reports	End of contract	6	1980 c 58 s 5
8.3.3	Licensing	Identification of licensing requirements Acquisition and maintenance of licenses Management of compliance with license conditions	End of licence	6	UCL
8.3.4	Records of legal support, representation and litigation regarding claims by or against UCL		Date of settlement or withdrawal	6 REVIEW	1980 c 58 ss 2, 5
8.3.5	Records of legal advice on interpretation of legislation affecting UCL's legal framework or responsibilities, relationship with central government or regulators, employee relations, or health, safety and environmental matters		PERMANENT	PERMANENT	JISC
	Records of legal advice provided by UCL to adults	Case files	Closure	6	UCL
	Records of legal advice provided by UCL to children	Case files	18th birthday	6	UCL

UCL Records Retention Schedule

Ref	Record group	Examples	Trigger	Retention	Citation
8.3.6	Records of legal advice on other matters		Closure	5 REVIEW	JISC
8.3.7	Management of projects funded by the European Structural Funds	Financial and workforce records Project management and implementation records Publicity	Date of last payment	3	1083/2006 art 78.2(c)
8.3.8	Employers' Liability Insurance Certificates		Expiry	40	SI 1998/2573 reg 4(4)
8.4	Insurance				
8.4.1	Insurance certificates		Expiry	40	UCL
8.4.2	Policies	Insurance policies	Expiry	6	UCL
8.4.3	Claims	Arrangement and renewal correspondence Claims correspondence	Expiry	6	UCL
8.5	Health and safety management				
8.5.1	Documentation of risk assessment	Risk assessment forms Safety tour forms Fire drill reports	When superseded	5	JISC
8.5.2	Occupational health records - employees not subject to COSHH or Ionising Regulations		Date of last entry	10	BMA
8.5.3	Documentation of health monitoring and surveillance carried out to meet statutory duties under SI 2005/1643, 2002/2677, 2012/632, 1999/3242	Accident reports Dangerous occurrence reports Lists of people exposed to biological agents or asbestos Records of exposures and incidents	AY	40	SI 2002/2677 regs 10(5)(a), 11(3), Sch 3 para 4(3) SI 2012/632 regs 19(4)(a), 22(1)(b)
8.5.4	Records of injuries, dangerous occurrences and notifiable diseases to meet statutory duties under SI 2013/1471	Accident / incident forms Accident books Statistics	AY	3 REVIEW	SI 2013/1471 reg 12(1)(2)
8.5.5	Substances hazardous to health: testing and general monitoring	Records of tests and repairs carried out in accordance with SI 2002/2677 reg 9(2) and (3) Records of general monitoring of employees' exposure	AY	5	SI 2002/2677 regs 9(4), 10(5)(b) SI 2012/632 reg 19(4)(b)
8.5.6	Surveillance and monitoring of exposure to substances hazardous to health	Occupational health records of surveillance and monitoring of identifiable employees' exposure List of employees exposed to certain biological agents	AY	40	SI 2002/2677 regs 10(5)(a), 11(3), Sch 3 para 4(3)
8.5.7	Radioactive substances: summary and immediate information	Investigation reports Summary of dose record Overexposure - report of immediate investigation	AY	2	SI 2017/1075 regs 22(6)(a)(i), 22(7), 23(4), 26(2)(a)
8.5.8	Radioactive substances: medical surveillance, accidents and exposure	Occupational health records Investigation reports Dose assessments	AY	30, or until age 75, whichever is longer	SI 2017/1075 regs 22(3)(a), 24(2)(c), 25(2)(c), 26(2)(b)

UCL Records Retention Schedule

Ref	Record group	Examples	Trigger	Retention	Citation
8.5.9	Documentation of training and instruction carried out to meet statutory duties under SI 2005/1643, 2002/2677, 2012/632, 1999/3242		AY	10	JISC
8.5.10	Health and safety audit reports and inspection reports		AY	5	JISC
8.6	Survey management				
8.6.1	Records of the design and conduct of staff surveys, surveys on public attitudes to UCL, user satisfaction surveys: summaries and analysis		AY	3 REVIEW	JISC
8.6.2	Results of surveys: individual responses		AY	0	JISC
8.7	Immigration compliance: Points-Based Immigration Scheme				
8.7.1	Sponsor's licence	Documents submitted as part of the application to become a licensed sponsor	Duration of licence	0	UKVI
8.7.2	Staff and student recruitment and individual file management	Applications Copies of passport / UK Biometric Card Contact details Absence record Screenshots of advertisements Applications for shortlisted candidates Job descriptions	End of sponsorship	1, or until a UKVI compliance officer has examined and approved, whichever is shorter	UKVI
9	External and public relations				
9.1	Public relations				
9.1.1	Records of complaints from members of the public, internal handling and responses		AY	1Y REVIEW	JISC
9.1.2	Records of planning and impact / results of public events and official visits		AY	3Y	JISC
9.1.3	Records of the organisation and administration of public events and official visits		AY	1Y	JISC
9.2	Media relations				
9.2.1	Media enquiries and responses provided		AY	3Y	JISC
9.2.2	Monitoring and analysis of media coverage of UCL		AY	3Y	UCL
9.2.3	Planning and organisation of media briefings and interviews		AY	1Y	JISC

UCL Records Retention Schedule

Ref	Record group	Examples	Trigger	Retention	Citation
9.2.4	Recordings and transcripts of media briefings and interviews		AY	5Y	JISC
9.2.5	Press releases and cuttings		AY	5Y REVIEW	JISC
9.3	Marketing				
9.3.1	Records of the design of corporate identity marks and logos, and of the development of corporate style guides and official use of identity marks		When superseded	0	JISC
9.3.2	Design of promotional materials and advertisements		When superseded	0	JISC
9.3.3	Planning and conduct of marketing campaigns		AY	5	JISC
9.4	External relations				
9.4.1	Relations with government bodies and HE/FE regulators		AY	5 REVIEW	JISC
9.4.2	Formal responses to consultations conducted by government or HE/FE sector organisations		AY	3	JISC
9.4.3	Reporting to HE/FE sector organisations	HESA returns HESES	AY	3	JISC
9.4.4	Records of nominations and decisions for honorary awards		AY	1	JISC
9.5	Alumni relations and fundraising				
9.5.1	Alumni / donor / sponsor records administration	Personal details of individuals	While current	0	JISC
9.5.2	Researching prominent graduates and identifying potential fundraising targets		AY	6M	UCL
9.5.3	Fundraising campaign plans, promotional materials and event statistics		AY	3 REVIEW	JISC
9.5.4	Identifying potential fundraising targets	Lists of targets for campaigns Correspondence	AY	2	UCL
9.5.5	Individual responses to fundraising campaigns		Completion of analysis	0	JISC

UCL Records Retention Schedule

List of Citations

Acts of Parliament

1970 c 9	Taxes Management Act 1970
1980 c 58	Limitation Act 1980
1986 c 14	Animals (Scientific Procedures) Act 1986
1994 c 23	Value Added Tax Act 1994
2010 c 15	Equality Act 2010

Statutory Instruments and EU Regulations

1986/1960	Statutory Maternity Pay (General) Regulations
1998/1833	Working Time Regulations
1998/2573	Employers' Liability (Compulsory Insurance) Regulations
2001/1004	Social Security (Contributions) Regulations
2002/2677	Control of Substances Hazardous to Health Regulations
2003/2682	Income Tax (Pay As You Earn) Regulations
2004/1031	Medicines for Human Use (Clinical Trials) Regulations
2005/50	Blood Safety and Quality Regulations
2005/894	Hazardous Waste (England and Wales) Regulations
2010/768	CRC Energy Efficiency Scheme Order
2011/988	Waste (England and Wales) Regulations
601/2012	Regulation on the monitoring and reporting of greenhouse gas emissions pursuant to Directive 2003/87/EC
2012/632	Control of Asbestos Regulations
2012/1916	Human Medicines Regulations
2012/3118	Energy Performance of Buildings (England and Wales) Regulations
2013/1471	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations
2015/51	Construction (Design and Management) Regulations
2015/102	Public Contracts Regulations
2017/1075	Ionising Radiations Regulations

UK and EU statutory guidance

2007/589/EC	Decision establishing guidelines for the monitoring and reporting of greenhouse gas emissions pursuant to Directive 2003/87/EC
ENTR	ENTR/F/2/SF/dn D (2009) 35810: European Commission detailed guidelines on good clinical practice specific to advanced therapy medicinal products
ERDF	European Regional Development Fund document retention guidance 2016
HMRC	Keeping VAT records 2016
UKVI	HM Government Sponsor guidance appendix D: keeping records for sponsorship Jul 2018

Professional guidance

BMA	The occupational physician: guidance for specialists and others practising occupational health 2013
EA 2011	How to comply with your EPR RSR environmental permit – sealed sources 2011
EA 2012	How to comply with your EPR RSR environmental permit – open sources and receipt, accumulation and disposal of radioactive waste on non-nuclear sites 2012
Home Office guidance	Guidance on the operation of the Animals (Scientific Procedures) Act 1986 2014
CPMP	CPMP/ICH/135/95: Note for guidance on good clinical practice 2002
JISC	Model records retention schedule 2007
MRC GRP	Good research practice 2012
MRC PIMR	Personal information in medical research 2000, 2003
RCP	The retention and storage of pathological records and specimens 5th ed 2016
RIBA	Procedures for validation and validation criteria for UK and international courses and examinations in architecture 2014

UCL Records Retention Schedule

UCL	
CCTV	CCTV Policy 2018
CECN	Policy on Connecting Equipment to the UCL Network 2017
CRB	DBS Checks and Criminal Convictions Policy 2017
UCL	Internal discussion with Faculty or Department