**Lancaster University Public Retention Schedule**

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| Document Status | Live |
| Document Owner | Division of Strategic Planning & Governance |
| Target Audience | All |
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| Version | Date | Description of changes and name and job title of person responsible for making changes |
| v.0.1 | March 2023 | Records Management Officer –Collated Public retention schedules to create Lancaster University Public Retention ScheduleUpdated formatting and made consistent.Updated ‘Retention Period’ column to ‘Retention Period / Action at End of Retention’.Added introduction and content page. |
| v.1.0 | June 2024 | Public Retention Schedule approved by Vice-Chancellor. |
| v.1.1 | October 2024 | Update to retentions |
| v.1.1.2 | December 2024 | Update to retentions |
| v.1.1.3 | March 2025 | Update to retentions |

To ensure the University remains complaint, the retention schedule is reviewed on an ongoing basis. For more information, please contact the records management team at records-management@lancaster.ac.uk.

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# **Academic Administration**

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| Record Group | Records within Group | Retention Period / Action at End of Retention | Citation |
| Student Administration and Support | Records containing personal data on individual students. | Minimum requirement varies for different types of personal dataRecommended maximum retention: End of 'registered student' relationship with institution + 6 years. | Limitation Act, 1980.If the information forms part of the core record/transcript the retention may be longer (see below).Please note that this RRS applies to records from 01/08/2019 onwards, we advise users to observe any separate funding rules handed down by ESFA/appropriate funding bodies or any separate contract providers.More stringent safeguards are needed for special category data which includes information about an individual’s:race;ethnic origin;politics;religion;trade union membership;genetics;biometrics (where used for ID purposes);health;sex life; orsexual orientationSee the ICO website for more information. |
| Student Administration and Support | The core record of a student as a learner | This is the minimal record kept to provide references for former students and may be retained for the lifetime of the student (80 years). A core (minimal) transcript may be retained indefinitely after this time and transferred to the archive if the institution has one. This depends on the requirements of the individual institution and their archival facilities/policies. The core record may vary according to the policy of each institution but is likely to contain name and dates of study, modules studied, and the qualifications conferred. | Sector norms/Institutional business requirements/Institutional charter/Institutional memory and archival requirements.For details on what may constitute the core student record see:The European Credit Transfer and Accumulation System (ECTS) User Guide 2015What Is a Student Record? A Case Study by King’s College London, Appendix IVFor more details on the HEAR, see the HEAR website and ‘Beyond the Honours Degree – the Burgess Group Final Report’ (October 2007)Guidelines for HE Progress Files, QAA (2001)Guide to the Diploma Supplement, UK HE Europe Unit (2006) |
| Student Administration and Support | Records documenting the initial assessment of students including: 1. Student Qualifications on Entry 2. Key Skills Assessments 3. Care Student Assessments | Termination of student relationship + 6 years | Limitation Act 1980 c.581973 Prescription and Limitation (Scotland) Act 1973  |
| Student Progress Administration | Individualised Student Record (ISRS). Individualised Learner Records. | Termination of student relationship + 6 years | Institutional business requirements. |
| Student Progress Administration | Records documenting the handling of individual students'/employers’ requests for statements of results/transcripts and requests for confirmation of individual students' awards, attendance or conduct from employers and other educational institutions. | Last action on request + 1 year | Institutional business requirements. |
| Student Progress Administration | Graduate Outcomes Surveys: individual responses | Completion of analysis of responses | UK General Data Protection Regulation*.* |
| Student Progress Administration | Records documenting the academic progress of individual students and formal action taken by the institution to deal with unsatisfactory progress, the transfer of individual students to new programmes or to new courses within programmes, the withdrawal of individual students from the institution, and the termination of individual students' programmes | Termination of relationship with student + 6 years | Limitation Act 1980 c. 58 s 5 |
| Student Disciplinary and Appeals Case Handling  | Records documenting the conduct and results of disciplinary proceedings against individual students and academic appeals.  | Last action on case + 6 years  | Limitation Act 1980 c. 58 s 5  |
| Student Complaint Handling (Informal) | Records documenting the handling of complaints by individual students where the formal complaints procedure is not initiated.  | Last action on complaint + 3 years  | Institutional business requirements.  |
| Student Complaint Handling (Formal) | Records documenting the handling of formal complaints made by individual students against the institution.  | Last action on case + 6 years  | Limitation Act 1980, c.58  |
| Lancaster Medical School (LMS) - Student Support and Fitness to Practice | Minor Matters | End of student relationship / Destroy\* \* In cases where students have several minor matters, these may be held for a longer period. | Institutional Business Requirements |
| Lancaster Medical School (LMS) - Student Support and Fitness to Practice | Reasonable adjustments, FTP Warning and anything noted in the Transfer of Information process | End of student relationship + 6 years / Destroy  | Institutional Business Requirements |
| LMS - Student Support and Fitness to Practice – Applications | Records documenting Fitness to Practice produced during the application process: **Successful Students**. | See Minor Matters | Institutional Business Requirements |
| LMS - Student Support and Fitness to Practice – Applications | Records documenting Fitness to Practice produced during the application process: **Unsuccessful Students**. | Completion of admissions process + 1 year / Destroy | The Equality Act 2010 |
| Medical Schools Council (MSC) Excluded Students’ Database\*  \*This is an externally managed databased used by Medical Schools (including LMS) to securely share fitness to practice information to protect the public from risk and to prevent fraudulent entry to a registered profession in the UK.  | Lancaster Medical School (LMS) students’ data entered onto the MSC Excluded Students’ Database:  1. Known name(s) including any changes of name by Deed Poll
2. Current gender and gender at birth
3. Date of Birth
4. Name of the school which the student was excluded from
5. UCAS ID
6. Photograph

A copy of the outcomes letter at the end of fitness to practice proceedings  | LMS: Completion and issues of procedure letter + 12 months / Destroy.  This information will be held for 10 years on the externally managed Excluded Students’ Database.  | Protocol for sharing information on students found unfit to practice on courses leading to entry to a registered profession.  |
| Doctorate in Clinical Psychology (DClinPsy) - Student Support and Fitness to Practice  | Records documenting Concerns which **do not** lead to decision that Student is unfit to practice.  | End of student relationship + 6 years / Destroy | Institutional Business Requirements  |
| Doctorate in Clinical Psychology (DClinPsy) - Student Support and Fitness to Practice  | Records documenting Fitness to Practice cases where student was **found unfit** to practice.    | End of student relationship + 6 years / Destroy except except: 1. Name
2. Date of Birth
3. Student Number
4. How the student was deemed to be unfit to practice.

   | Institutional Business Requirements  The Equality Act 2010  |
| Student Support and Welfare Management  | Student counselling services: case notes, letters to doctors etc.  | End of student relationship + 6 years  | Limitation Act, 1980.  British Association for Counselling and Psychotherapy (BACP) recommendations.  |
| Student Support and Welfare Management  | Records relating to the provision of advice through the University’s Advice, Support and Knowledge (ASK) service, including the Student Money Advice Service.   | Interaction + 6 years  | Limitation Act 1980.  |
| Student Support and Welfare Management  | Records relating to careers advice.  | Duration of enrolment +3 years  | The Equality Act 2010.  |
| Anti-Harassment and Bullying Service | Records relating to the services provided by the Anti-Harassment and Bullying Team. | Last interaction with service + 6 years / Destroy | Limitation Act 1980 |
| Lancaster Medical School (LMS) - Student Support | Records relating to the provision of advice through the LMS Student Support Services | End of Student Relationship + 6 years / Destroy | Limitation Act 1980. |
| Student Recruitment  | Records documenting the handling of enquiries from prospective students (subsequently registered as student).  | Current academic year + 5 years  Where students did not subsequently enrol at the institutional, the records can be retained current academic year + 1 year.  | Competitive Market Authority  |
| Student Admission  | Records documenting the handling of applications for admission: successful applicants.  | End of student relationship + 6 years / Destroy | Limitation Act 1980 c. 58 s 5  |
| Student Admission  | Records documenting the handling of applications for admission: unsuccessful applicants.  | Completion of admissions process + 1 year / Destroy | The Equality Act 2010  |
| Student Admission  | Records documenting the handling of enquiries.    | Current academic year + 1 year  | Institutional business requirement  |
| Student Admission | Records documenting the administration of the clearing process: Unsuccessful applicants. | Successful Applicants**:** End of student relationship + 6 years / Destroy | Limitation Act 1980 c. 58 s 5 The Equality Act 2010 |
| Student Admission | Records documenting the administration of the clearing process: Unsuccessful applicants. | Completion of clearing process + 1 year / Destroy | Limitation Act 1980 c. 58 s 5 The Equality Act 2010 |
| Student Admission  | Records containing data on overall student numbers.  | Current academic year + 1 year  | Institutional business requirements.  |
| Immigration Advice and Compliance  | Records documenting immigration casework/compliance for students, including the retention of immigration permission from students.  | 6 years from last interaction relating to casework or 6 years after permanent withdrawal relating to immigration permission.  | OISC Code of Standards: 2016  |
| Student Registration  | Records documenting the registration of individual students on programmes.  | Termination of student relationship + 6 years  | Limitation Act 1980 c. 58 s 5  |
| Taught Programme Review  | Routine solicited feedback on taught programmes from staff and examiners: individual feedback.  | Current academic year + 5 years OR Life of course + 1 year  | Institutional business requirements.  |
| Taught Programme Review  | Routine solicited feedback on taught programmes from students: individual feedback  | Completion of analysis of feedback  | Institutional business requirements  |
| Taught Student Monitoring & Support  | Feedback on academic progress, and general academic guidance and support, given to individual taught students.  | Completion of student's programme + 6 years  | Limitation Act 1980 c. 58 s 5  |
| Learning Support Administration | Records relating to Inclusive Learning and Support Plan (ISLP) for Students with specific needs. | End of Student Relationship + year + 6 years | The Equality Act 2010 |
| Student Communications Management | Results of student surveys: individual responses | Completion of analysis of survey responses | *The retention period will depend on what was stated in the privacy notice when the data was collected. After this period, responses can be anonymised for the purposes of analysis to ensure compliance with GDPR.* |
| Student Communications Management  | Results of student surveys: summaries and analyses of responses  | Completion of survey + 5 years  | Institutional business requirements.  |
| Student Communications Management  | Records documenting the design of, and overall response to, student suggestion schemes.  | Closure of scheme + 5 years  | Institutional business requirements.  |
| Student Communications Management  | Records documenting the handling of suggestions from individual students.  | Last action on suggestion + 1 year  | Institutional business requirements.  |
| Academic Award Conferment  | Records documenting the notification of awards to students and the issue of awards certificates.  | Conferment of award + 1 year  | Institutional business requirements.  |
| Academic Award Conferment  | Records documenting the process of inviting, receiving and considering nominations for honorary awards.  | Conferment of award + 1 year  | Institutional business requirements.  |
| Academic Award Conferment  | Records documenting offers of honorary awards and responses received.  | Conferment of award + 1 year  | Institutional business requirements.  |
| Award Ceremony Administration  | Records documenting the mailing of award certificates to students who do not attend ceremonies.  | Completion of ceremony + 1 year  | Institutional business requirements.  |
| Prizes Administration  | Records documenting nominations for prizes, the consideration of nominations and notifications to recipients of prizes.  | Current academic year + 5 years  | Institutional business requirements.  |
| Prizes Administration  | List of prize winners  | While prize is awarded  | Institutional business requirements.  |
| External Examiner Administration  | Records documenting the selection and appointment of external examiners.  | Current academic year + 6 years / Destroy  | Institutional business requirements.  |
| External Examiner Administration  | Records documenting liaison with external examiners on administrative matters.  | Current academic year + 1 year / Destroy | Institutional business requirements.  |
| Assessment Administration  | Records documenting the selection and appointment of examination invigilators.  | Current academic year + 1 year  | Institutional business requirements.  |
| Assessment Administration  | Records documenting the organisation of examination facilities, including special arrangements for students with special needs.  | Current academic year + 1 year  | Institutional business requirements.  |
| Assessment Administration  | Records documenting individual students' attendance at examinations, and the handling of reports of mitigating circumstances.  | Current academic year + 1 year (minimum)  | Institutional business requirements.  |
| Assessment Administration  | Records documenting the collation of examination results and compilation of pass lists and individual notifications of results.  | Current academic year + 1 year  | Institutional business requirements.  |
| Assessment Administration  | Records documenting individual students' submission of assessed work and handling of reports of mitigating circumstances.  | Current academic year + 1 year  | Institutional business requirements.  |
| Assessment Administration  | Records documenting the issue of awards lists and individual notifications of awards.  | Current academic year + 1 year  | Institutional business requirements.  |
| Assessment Administration  | Qualification Lists/Pass Lists/Awards lists.  | Issue of list + 10 years  | Institutional business requirements.  |
| Dissertations (UG & PGT only)  | Certain specified examples of past dissertations made available as examples to students of an excellent display of academic rigor.  | Preserve in relevant University department once student consent for ongoing storage and access by third parties is received  | Institutional business requirements.  |
| PhD Theses | Copies of a student’s doctoral thesis | Retain indefinitely. Lancaster University doctoral theses must be deposited with the Library when a degree is awarded. They will be searchable in OneSearch as soon as possible. | Institutional Business Requirements |
| Tuition Fee Remission  | Records documenting the handling of applications for remission of tuition fees: successful applications.  | Determination of application + 6 years  | Limitation Act 1980 c. 58 s 5  |
| Tuition Fee Remission  | Records documenting the handling of applications for remission of tuition fees: unsuccessful applications.  | Determination of application + 1 year  | Institutional business requirements.  |
| Financial Aid Funds Administration  | Records documenting the provision of financial aid funds to individual students.  | Current financial year + 6 years  | Limitation Act 1980 c. 58 s 5  |
| Crisis/Hardship Funds Administration  | Records documenting the provision of crisis/hardship payments to individual students.  | Current financial year + 6 years  | Limitation Act 1980 c. 58 s 5  |
| Bursaries Administration  | Records documenting the award of bursaries to individual students.  | Current financial year + 6 years  | Limitation Act 1980 c. 58 s 5  |
| Crisis/Hardship Funds Administration | Records documenting the provision of crisis/hardship payments to individual students. | Current financial year + 6 years | Limitation Act 1980 c. 58 s 5 |
| Scholarships and Fellowships Administration  | Records documenting the award of scholarships and fellowships to individual students.  | Current financial year + 6 years  | Limitation Act 1980 c. 58 s 5  |
| Student Financial and Employment Support.  | Records of administration of Student Financial and employment support such as: -New Deal Records -Modern Apprenticeship Records -Access Fund Applications.  | Current year + 6 years  | Institutional business requirements.  |

# **Accommodation**

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| **Record Group Name**  | **Records within Group**  | **Retention Period / Action at End of Retention**  | **Citation**  |
| Accommodation Application  | Records documenting the student’s application to accommodation provided by institution’s accommodation: Successful applications.  | Superseded by the contract if accepted (see contracts) | Limitation Act 1980  |
| Accommodation Application  | Records documenting the student’s application to accommodation provided by institution’s accommodation: Unsuccessful applications.  | Start of current academic year + 1 year | Institutional business requirements.  |
| Accommodation Application  | Records documenting the student's application to accommodation provided by institution’s accommodation: Specific requirements – supporting evidence.  | Decision + 3 months | Institutional business requirements.  |
| Accommodation Enquires  | Records documenting the handling of enquiries from prospective and current students.  | Current academic year + 2 years | Institutional business requirements.  |
| Students Lists  | Records documenting the collation of students in list format for information purposes: Business need.  | Superseded | Institutional business requirements.  |
| Academic Withdrawal Requests  | Record documenting student’s withdrawal request that may result in termination of accommodation licence: [Institution] accommodation resident.  | Termination of contract + 6 years | Institutional business requirements.  |

# **Communications**

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| **Record Group Name**  | **Records within Group**  | **Retention Period / Action at End of Retention**  | **Citation**  |
| Public Communications Management  | Enquiries from members of the public and the responses provided.  | Last action on enquiry + 1 year | Institutional business requirements.  |
| Public Communications Management  | Unsolicited feedback from members of the public, the internal handling of this feedback and the responses provided.  | Last action on feedback + 1 year | Institutional business requirements.  |
| Public Communications Management  | Results of public surveys: summaries and analyses of responses  | Completion of survey + 3 years | Institutional business requirements.  |
| Public Communications Management  | Complaints from members of the public, the internal handling of these complaints and the responses provided.  | Last action on complaint + 6 year  | Institutional business requirements.  |
| Community Communications Management  | Enquiries from members of the local community and the responses provided.  | Last action of enquiry + 1 year  | Institutional business requirements.  |
| Community Communications Management  | Unsolicited feedback from members of the local community, the internal handling of this feedback and the responses provided.  | Last action on feedback + 1 year  | Institutional business requirements.  |
| Community Communications Management  | Results of community surveys: individual responses.  | Completion of analysis of survey responses  | *The retention period will depend on what was stated in the privacy notice when the data was collected. After this period, responses can be anonymised for the purposes of analysis to ensure compliance with GDPR.*  |
| Community Communications Management  | Complaints from members of the local community, the internal handling of these complaints and the responses provided.  | Last action on complaint + 1 year  | Institutional business requirements.  |
| Community Events Management  | Records documenting the planning and impact/results of local community events.  | Completion of event + 3 years  | Institutional business requirements.  |
| Community Events Management  | Records documenting the organisation and administration of local community events.  | Completion of event + 1 year  | Institutional business requirements.  |
| Community Representation  | Records documenting the institution's membership of local community organisations.  | Termination of membership + 1 year  | Institutional business requirements.  |
| Community Representation  | Records documenting the institution's participation in the activities of local community organisations (including committees).  | Termination of involvement + 1 year  | Institutional business requirements.  |
| Alumni Records Administration  | Records containing personal data on individual alumni.  | While current (or likely to be current)  | Institutional business requirements.  |
| Alumni Communications Management  | Records documenting enquiries from alumni and the responses provided.  | Last action on enquiry + 1 year  | Institutional business requirements.  |
| Alumni Communications Management  | Unsolicited feedback from alumni, the internal handling of this feedback and the responses provided.  | Last action on feedback + 1 year  | Institutional business requirements.  |
| Alumni Communications Management  | Results of alumni surveys: individual responses  | Completion of analysis of survey responses  | *The retention period will depend on what was stated in the privacy notice when the data was collected. After this period, responses can be anonymised for the purposes of analysis to ensure compliance with GDPR.*  |
| Alumni Communications Management  | Records documenting the handling of complaints from alumni.  | Last action on complaint + 6 years  | Limitation Act 1980 |
| Alumni Support   | Requests for contact details for alumni, action taken, and the responses provided.  | Last action on request + 1 year  | Institutional business requirements.  |
| Fundraising Campaign Management  | Individual responses to fundraising campaigns.  | Completion of analysis of data  | Institutional business requirements.  |
| Donations Management  | Records documenting the handling of enquiries about making donations to the institution.  | Last action on enquiry + 1 year  | Institutional business requirements.  |
| Donations Management  | Records documenting donations to the institution.  | Current year + 5 years  | *A shorter/longer period may be appropriate for small/substantial donations.*  |
| Market Research  | Market research data: data relating to identifiable individuals.  | Completion of analysis of data  | Institutional business requirements.  The institution may wish to transfer these records to the archive once they are no longer in active use.  |

# **Corporate Management and Compliance**

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| **Record Group Name**  | **Records within Group**  | **Retention Period / Action at End of Retention**  | **Citation**  |
| Discrimination Complaints Handling  | Records documenting the handling of formal complaints about discrimination by or within the institution.  | Last action on case + 6 years  | Limitation Act 1980 c. 58 s 2  |
| Ethnic Minority Mentoring Scheme Co-ordination  | Records documenting the mentoring scheme including:* Applications for the scheme
* Monitoring of the mentor-mentee relationship
* Outcomes
 | Last interaction with mentoring scheme + 6 years / Destroy | Institutional business requirements.  |
| Lancaster Arts Administration | Hire Agreements | Current Financial Year + 6 years / Destroy | Limitation Act 1980. |
| Lancaster Arts Administration | Staff Emergency Contact Sheet  | Until member leaves post / destroy | Institutional Business Requirements |
| Lancaster Arts Administration | Annual Survey data  | Submission of Report + 1 year / Destroy  | Required for Arts Council  |
| Lancaster Arts Administration | Contracts for artists and freelancers  | Current Financial Year + 6 years / Destroy  | Institutional Business Requirements  |
| Lancaster Arts Administration | Credit Card Payments (taken over phone)  | Current Financial year + 6 years / Destroy  | Limitation Act 1980. |
| Lancaster Arts: Volunteer Records  | Qualtrics – Volunteer sign up.  | Current Financial Year + 1 year / Destroy  | Institutional Business Requirements  |
| Lancaster Arts Volunteer Records  | Facebook volunteer communications  | Current Financial Year + 6 years / Destroy  | Limitation Act 1980.  |
| Lancaster Arts Volunteer Records  | Volunteer Applications (Successful)  | Current Financial Year + 6 years / Destroy  | Limitation Act 1980. |
| Lancaster Arts Volunteer Records  | Volunteer Applications (Unsuccessful)  | Current Financial Year + 1 year / Destroy  | Institutional Business Requirements. |
| Lancaster Arts Volunteer Records  | Records documenting Volunteer attendance  | Current Financial Year + 6 years / Destroy  | Limitation Act 1980. |
| Lancaster Arts: Public Engagement  | Events Public Booking  | Current Financial Year + 6 years / Destroy  | Limitation Act 1980. |
| Lancaster Arts Public Engagement | Email and poster lists | Until Data Subject unsubscribes / Destroy | Institutional Business Requirements |
| Lancaster Arts Public Engagement | Website analytics | 3 years after creation / Destroy | Institutional Business Requirements |
| Lancaster Arts Public Engagement | Marketing Emails | Until Data Subject unsubscribes | Institutional Business Requirements |
| Lancaster Arts Public Engagement | Public Engagement  | Activity sign-up sheets  | Current Financial Year + 1 year / Destroy  |
| Lancaster Arts: Donor Records  | Records relating to donations and gifts  | Current Financial Year + 6 years / Destroy  | Lancaster Arts  |
| Lancaster Arts: Membership  | Membership Subscriptions  | Current Financial Year + 6 years / Destroy  | Institutional Business Requirements  |
| Lancaster Arts Membership  | Group Memberships  | Until Member leaves Group / Destroy  | Institutional Business Requirements  |
| Lancaster Arts: Survey Data  | Arts Council Survey Data  | Current Financial Year + 1 year / Destroy  | Institutional Business Requirements  |

# **Human Resources**

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| --- | --- | --- | --- |
| **Record Group Name**  | **Records within Group**  | **Retention Period / Action at End of Retention**  | **Citation**  |
| Successful applicants   |  CV/application form / academic profile   • Successful applicant profile   • Engagement Form   • Proof of HESA number  • Pre-employment checks  • Interview notes and panel wash up form  • Approved request to appoint   • Offer details  • Pre-employment form    • Copy of qualifications   • Relocation agreements   • References  • Job description /person specifications   • ID   • New starter checklist  • Pre-employment health questionnaire   • Health Management Report/Occupational Health Records (from OH provider)    | End of employment + 6 years  / Destroy   **Research Grants** If directly allocated or directly indicated staff costs retention period may need to be longer due to audit requirements  /   HR: Review Not involved in a research grant: Destroy  Involved in a research grant: Determine retention period, dependent on funder.  ERS: anonymise through e-ploy        | Limitation Act 1980                                                  |
| Successful applicants  |  • Occupational Health clearance and subsequent records for employees exposed to hazards    | See Health & Safety  | See Health and Safety Retention Schedule  |
| Successful applicants (visa holders)   |  • Advert screenshots   • Certificate of sponsorship /pro-forma   • Visa   • Work permit   • Copy of Resident permit  • Copy of passport    • Letter from UKBA approving application for extension to stay   • Birth certificate   • Copy of national insurance care    | End of employment + 6 years / Destroy **Research Grants**If directly allocated or directly indicated staff costs retention period may need to be longer due to audit requirements HR: Review**Not involved in a research grant**: Destroy**Involved in a research grant**:Determine retention period, dependent on funder.ERS: anonymise through e-ploy | Border and Immigration Agency *Prevention of Illegal Working*  |
| Unsuccessful applicants   | • CV• Application form• Academic profile / letter of application (information on HR Recruitment Portal (Stone Fish)  | 12 months after closing date, make data not viewable by university staff  Data is maintained indefinitely, provided applicant logged in within the past 12 months / Destroy  | 1975 c. 65 1976 c. 74 1995 c. 50 SI 2006/1031 Regulations 7, 36 and 42 SI 2003/1660 Regulations 6, 28 and 34 SI 2003/1661 Regulations 6, 28 and 34  |
| Unsuccessful applicants   | Unsuccessful applicant interview notes and panel wash up form     | 3 months after interview / Destroy |    1975 c. 65 1976 c. 74 1995 c. 50 SI 2006/1031 Regulations 7, 36 and 42 SI 2003/1660 Regulations 6, 28 and 34 SI 2003/1661 Regulations 6, 28 and 34 |
| Applicants never employed through ERS   | Applicant profile / Incomplete applications | Last active date on E-Ploy + 12 months / Destroy | Institutional business requirements |
| Contracts of employment | Records relating to initial contract and contract variations:* Change in hours/job title/salary/extension of FTC etc.
* Flexible working requests and confirmations
 | End of employment + 6 years / Destroy **Research Grants**If directly allocated or directly indicated staff costs retention period may need to be longer due to audit requirements HR: Review**Not involved in a research grant**: Destroy**Involved in a research grant**:Determine retention period, dependent on funder.ERS: anonymise through e-ploy | Limitation Act 1980 |
| Probation | Records relating to probation:* Probation Form
* Confirmation of completion / extension of probation
 | End of employment + 6 years / Destroy**Research Grants**If directly allocated or directly indicated staff costs retention period may need to be longer due to audit requirements HR: Review**Not involved in a research grant**: Destroy**Involved in a research grant**:Determine retention period, dependent on funder.ERS: anonymise through e-ploy | Limitation Act 1980 |
| Redeployment / Secondment  | Records relating to deployment / secondment:* Secondment agreements

Redeployment confirmation  | End of employment + 6 years / Destroy **Research Grants**If directly allocated or directly indicated staff costs retention period may need to be longer due to audit requirements HR: Review**Not involved in a research grant**: Destroy**Involved in a research grant**:Determine retention period, dependent on funder.ERS: anonymise through e-ploy | Limitation Act 1980 |
| Performance Management Documentation  | * PDR Review Forms
* Meeting Notes

  | End of employment + 6 years / Destroy See 2.1 for DA or DI staff costed into research grants | JISC |
| End of Fixed Term Contract/Redundancy/ Resignation   | * Acceptance of Resignation letter
* Death in Service
* End of FTC confirmation letter
* Exit interview notes
* Notification of FTC not being extended
* End of FTC consultation
* Notification of resignation/redundancy
* Redundancy letters
* Redundancy calculation sheets
* Redundancy Continuous Service Form
 | End of employment + 6 years / Destroy **Research Grants**If directly allocated or directly indicated staff costs retention period may need to be longer due to audit requirements HR: Review**Not involved in a research grant**: Destroy**Involved in a research grant**:Determine retention period, dependent on funder.ERS: anonymise through e-ploy | Limitation Act 1980        |
| Voluntary Severance | * Notification of resignation / redundancy
* Redundancy letters
* Redundancy calculations sheets
* Redundancy Continuous Service Form
* Voluntary Severance Scheme (VSS) Redundancy Panel Papers
 | End of employment + 6 years / Destroy **Research Grants**If directly allocated or directly indicated staff costs retention period may need to be longer due to audit requirements HR: Review**Not involved in a research grant**: Destroy**Involved in a research grant**:Determine retention period, dependent on funder.ERS: anonymise through e-ploy | Limitation Act 1980 |
| Retirement   | * Acceptance of Retirement letter
* Notification of ill health retirement
* Notification of retirement
 | End of employment + 6 years / Destroy **Research Grants**If directly allocated or directly indicated staff costs retention period may need to be longer due to audit requirements HR: Review**Not involved in a research grant**: Destroy**Involved in a research grant**:Determine retention period, dependent on funder.ERS: anonymise through e-ploy   | Limitation Act 1980          |
| Hours worked (ERS)   | Timesheets   | 2 years from date on which made / Destroy  **Research Grants**If directly allocated or directly indicated staff costs retention period may need to be longer due to audit requirements HR: Review**Not involved in a research grant**: Destroy**Involved in a research grant**: Determine retention period, dependent on funderERS: anonymise through e-ploy | The Working Time Regulations 1998 (SI 1998/1833)  |
| Training and Development Attended / Completed (Non-statutory)  | Training and development programmes attended/completed  | Superseded or End of Employment + 6 years / Destroy | Limitation Act 1980. |
| Training for employees, students, and others on health & safety | Training records e.g.* First Aid Training
* Fire Safety
* Manual Handling
* COSHE
* Staff induction and refresher training

See Health and Safety for more information. | Centrally held records: Current year + 5 yearsRecords held on personnel file: End of employment + 6 years / Destroy | The Health & Safety (First-Aid) Regulations 1981, S.I. 1981/917;Health & Safety Information for Employees Regulations 1989, S.I. 1989/682;Health & Safety (Display Screen Equipment) Regulations 1992, S.I. 1992/2792; Manual Handling Operations Regulations 1992, S.I. 1992/2793;Management of Health & Safety at Work Regulations 1999, S.I. 1999/3242;Control of Substances Hazardous to Health Regulations 2002. S.I. 2002/2677 Regulatory Reform (Fire Safety) Order 2005, S.I. 2005/1541; |
| Rewards documentation  | * Long service
* Academic promotion
 | End of employment + 6 years / Destroy  | Limitation Act 1980 |
| Ex-gratia payment  | * Business case
* Approval

Employee letter | End of employment + 6 years / Destroy | Limitation Act 1980 |
| Grievance raised against an employee   | * Correspondence with concerns
* Outcomes of informal/formal reviews
* Appeals
 | Last action on case + 6 years / Destroy files and outcome  | JISC  |
| Complaints against an employee   | * Correspondence with concerns Outcomes of informal/formal reviews
* Appeals
 | Last action on case + 6 years / Destroy files and outcome  | Limitation Act 1980 |
| Capability   | * Correspondence with concerns
* Outcomes of informal/formal reviews
* Appeals
 | Superseded + 3 years / Destroy files and outcome  | JISC |
| Disciplinary   | * Outcomes of informal/formal reviews
* Appeals
 | Closure of case + 6 years / Destroy files and outcome  | Limitation Act 1980 |
| Settlement Agreements   | * Case records
* Calculations
* Invoice / payment records
* HMRC records
 | End of Employment + 6 years / Destroy  | Limitation Act 1980 |
| Grievance raised by employee   |    | End of Employment + 6 years / Destroy  | Limitation Act 1980 |
| Tribunal Cases   | Tribunal case files    | End of Tribunal Case / Archive | Institutional business requirements   |
| Annual Leave Entitlement  | Administration of Annual Leave entitlement | End of current year + 1 year / Destroy | JISC |
| Absence Management | Administration of an employer’s sickness absence and sickness pay | End of Employment + 6 years | Obligations to keep records were abolished in: The Statutory Sick Pay (Maintenance of Records) (Revocation) Regulations 2014 (SI 2015/55)CIPD advise end of employment + 6 years |
| Sabbatical  | Documentation relating to administration of leave  | End of Employment + 6 years / Destroy | Limitation Act 1980. |
| Maternity and Paternity Leave  | Documentation relating to administration of leave  | Completion of entitlement (5 years from birth / adoption of child or 18 years if the child receives a disability allowance) + 6 years / Destroy | The Maternity & Parental Leave etc. Regulations S.I. 1999/3312, Limitation Act, 1980 c. 58 |
| Other Leave / Action  | Records relating to:* Unauthorised leave
* Unpaid leave confirmation letter
* Compassionate leave
* Study leave

Absence due to industrial action  | End of Employment + 6 years / Destroy | Limitation Act 1980 |
| Payroll       | Payroll records relating to individuals e.g.  * P45/46
* Change of bank details
* Claim form
* Timesheets
* Correspondence
* Leaver notifications (hourly paid staff)
* Overpayments
* Overtime claim form
* Payroll instruction
* Season ticket loan form
* Staff loan form
* Student loan
* Foreign payments
* Payment Vouchers
* BACS redirection
* NI Exemptions/Deferments
* /Notifications
* Jury Duty Notification
* Payroll calculations (absence, unpaid leave)
* Relocation expenses
* Flexible benefits
* Tusker documents
* Direct Earnings Assessments/Court Orders/Child Support Agency

Misc payroll calculations (overrides, FTC adjustments, staff awards)   | End of employment + 6 years / Destroy  | Limitation Act 1980  |
| Payroll  (ERS Staff)   | Payroll records   | Finance department: Current year + 6 years    External Provider:  Current tax year + 3 years / Destroy   | Lancaster University Financial Delegations and Regulations      HMRC   |
| Employer and employee contributions to the pension schemes   | Monthly returns to pension provider | End of employment + 75 years / Destroy  | Limitation Act 1980  |
| Pension administration   | All documentation relating to an individual’s pension:* Pre DMS pensions
* Auto enrolment letter / email
* Change to 50/50 scheme form
* Change to main scheme form
* Member request / query
* Leaver form
* Opt-in form
* Opt-out form
* Retirement information
* Notification to pensions of retirement
* AVCs (LGPS, USS,

 Prudential) | End of Employment + 6 years / Destroy  | Limitation Act 1980 |
| Staff Survey   |  Only anonymised data is held by the University | Until superseded + 5 years / Destroy | Institutional Business Requirements |
| CEDA – Educational Development Programme | • Qualification• Recognition• Award• Graduation Certificates  | Permanent | Institutional business requirements |
| CEDA Programme Tracking | Programme tracking and cohort spreadsheets | Completion of programme + 6 years / Destroy | Limitation Act 1980 |
| CEDA Programme Applications | Successful applications | Completion of Programme + 6 years / Destroy | Limitation Act 1980 |
| CEDA Programme Applications | Unsuccessful applications  | 1 year / Destroy | The Equality Act 2010 |
| CEDA Programme | • Attendance lists Submissions• Mark sheets• Feedback | Completion of programme + 6 years / Destroy | Limitation Act 1980 |
| CEDA Programme | Moodle sites | Completion of programme + 5 years\* / Destroy\*The retention of Moodle sites is currently under review and subject to change. | Institutional business requirements |
| Advanced Teaching: Lancaster Accreditation Scheme (ATLAS) | ATLAS Senior Fellows Network (LUSFN) webpage and Excel listing  | End of employment / Destroy | Institutional business requirements |
| ATLAS | Reviewers / Mentors | Until end of role as Reviewer / Mentor + 6 years / Destroy | Limitation Act 1980 |
| CEDA Graduation | • Introduction to Teaching for Lancaster• Sharing Practice• Graduation Data | Completion of programme + 6 years / Destroy | Limitation Act 1980 |
| CEDA Graduation | Attendance lists | Completion of ceremony + 1 year / Destroy | Institutional business requirements |
| CEDA Graduation | Certificates | Permanent | Institutional business requirements |
| CEDA Graduation | Photos | Graduation Ceremony + 6 months / Destroy | Limitation Act 1980 |
| CEDA Graduation | Teaching Committee Minutes | Life of Committee + 3 years / Destroy | Institutional business requirements |
| CEDA Graduation | Assessment Board / Review Panel Minutes | Life of Committee + 3 years / Destroy | Institutional business requirements |
| CEDA Graduation | Award / Pass lists | Permanent | Institutional business requirements |
| CEDA Graduation | External Examiners Reports | Current academic year + 6 years / Destroy | Limitation Act 1980 |
| CEDA Graduation | Suppliers (MoUs, request forms) | Current academic year + 6 years / Destroy | Limitation Act 1980 |
| Training Records  | General training and development programmes attended  | Completion of programme + 6 years / Destroy | Limitation Act 1980 |
| Training Records | Where there is a statutory or regulatory requirement | Expiry of relevant certification + 6 years / Destroy | Limitation Act 1980 |

# **Information Compliance**

|  |  |  |  |
| --- | --- | --- | --- |
| **Record Group Name**  | **Records within Group**  | **Retention Period / Action at End of Retention**  | **Citation**  |
| Subject Access Request / Data Subject Rights Requests | Records documenting the handling of requests for access to personal data held by the institution / other data subject rights requests under the General Data Protection Regulation (GDPR).  | Last action on request + 3 years, unless a complaint received concerning the response; then – Last action on request + 6 years | Common practice  GDPR does not prescribe a retention period for these records and the ICO does not advise a specific retention period.    A longer retention period may be appropriate for records documenting the handling of requests which resulted in complaints or appeals.  |
| Freedom of Information Compliance  | Records documenting the handling of requests for information held by the institution, made under the Freedom of Information Act 2000 (c. 36)   | Completion of request handling process + 3 years  | Freedom of Information Act 2000  Records created by a public body fulfilling its obligations under the Freedom of Information Act 2000 (The National Archives).  The National Archives recommends '3 Years after date of creation'. See Model Retention Schedule for Records Created by a Public Body Fulfilling FOI obligations (The National Archives).  Records (or information extracted from them) relating to cases which set legal precedents, or which establish principles for handling requests for certain types of information should be kept for longer, possibly as part of policy development records (see INFORMATION COMPLIANCE MANAGEMENT - INFORMATION COMPLIANCE POLICY DEVELOPMENT).  A request handling process is completed when the request has been fulfilled or when all complaints and/or appeals (against non-disclosure of information or methods of handling the request) have been determined.  See ‘Definition document for universities and other higher education institutions’ and ‘Definition document for colleges of further education’ ICO (2013).  |
| Environmental Information Compliance  | Records documenting the handling of requests for environmental information held by the institution, made under the Environmental Information Regulations 2004 (SI 2004/3391)   | Completion of request handling process + 3 years  | *This recommended retention period is in line with the period recommended by The National Archives for retention of records relating to the handling of requests for information under the Freedom of Information Act 2000.  See Records created by a public body fulfilling its obligations under the Freedom of Information Act 2000 (The National Archives).*  *Records (or information extracted from them) relating to cases which set legal precedents, or which establish principles for handling requests for certain types of information should be kept for longer, possibly as part of policy development records (see INFORMATION COMPLIANCE MANAGEMENT - INFORMATION COMPLIANCE POLICY DEVELOPMENT).*  |

# **Research**

Personal data in research records are covered by their own unique privacy notices / research agreements. This will identify a retention schedule for any records produced from the research project. For more information on how long your records are being held in relation to a research project, please ask your research team by contacting them using the details provided on your initial Participant Information Sheet.

# **Sports Centre**

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| **Record Group Name**  | **Records within Group**  | **Retention Period / Action at End of Retention**  | **Citation**  |
| Sports Centre membership records  | To Include: * Application form
* Sales information
* Pre-exercise questionnaire

GP letters  | Termination of membership + 6 years / Destroy  | Limitation Act 1980  |
| Sports centre Customer Feedback  | * Feedback forms

Complaints  | Last action + 3 years / Destroy  | JISC  |
| Sports centre Customer Feedback  | * Compliments

  | Received + 1 year / Destroy  | JISC  |
| Sports Centre Health & Safety – Climbing Wall  | Registration / Consent forms  | Deleted after 6 years or superseded + 5 years / Destroy  | Limitations Act 1980.  |