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| Wibsey Web Logo |

**WIBSEY PRIMARY SCHOOL**

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| **DATA RETENTION POLICY** |

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| Agreed by Governors  Date: | Full Governors | ✓ |
| Finance and General Purposes |  |
| Teaching and Learning |  |
| Signed on behalf of Governing Body by Chair of Committee: |  |  |
| Approved | October 2018 |  |
| Review | October 2021 |  |

**Issued: April 2018**

**Next Review Due: July 2021**

This document provides the policy framework through which this effective management can be achieved and audited.

# Scope of the Policy

This policy applies to all records created, received or maintained by staff in the School in the course of carrying out its functions.

* Records are defined as all those documents which facilitate the business carried out by the school and which are thereafter retained (for a set period) to provide evidence of its transactions or activities. These records may be created, received or maintained in hard copy or electronically.
* A small percentage of records may be selected for permanent preservation as part of the institution’s archives and for historical research.

# Responsibilities

* The Trust has a corporate responsibility to maintain its records and record keeping systems in accordance with the regulatory environment. The Governing Body has overall responsibility for this policy.
* The person responsible for records management will give guidance for good records management practice and will promote compliance with this policy so that information will be retrieved easily, appropriately and timely.
* Individual staff and employees must ensure that records for which they are responsible are accurate, and are maintained and disposed of in accordance with the Trust’s records management guidelines.

# Relationship with Existing Policies

This policy has been drawn up within the context of:

* Freedom of Information Policy.
* Data Protection Policy

and with other legislation or regulations (including audit, equal opportunities and ethics) affecting the School.

# Safe Disposal of Records

Where records have been identified for destruction they should be disposed of in an appropriate way. All records containing personal information, or sensitive policy information, should be shredded before disposal using a cross cut shredder. Any other records should be bundled up and disposed of to a waste paper merchant or disposed of in other appropriate ways. Do not put records in the dustbin or a skip.

There are companies who can provide confidential waste bins and other services which can be purchased to ensure that records are disposed of in an appropriate way.

The Freedom of Information Act 2000 requires the school to maintain a list of records which have been destroyed and who authorised their destruction.

Members of staff should record at least:

* File reference (or other unique identifier).
* File title (or brief description) and number of files.
* The name of the authorising officer and the date action taken.

This should be kept in an Excel spreadsheet or similar suitable format by the Business Manager.

# Transfer of Information

Where lengthy retention periods have been allocated to records, members of staff may wish to consider converting paper records to other media. The lifespan of the media and the ability to migrate data where necessary should always be considered.

# Retention Guidelines

The following retention guidelines have been issued by the Management Society of Great Britain ‘Retention Guidelines for Schools’. Some of the retention periods are governed by statute. Others are guidelines following best practice.

Every effort has been made to ensure that these retention periods are compliant with the requirements of the General Data Protection Regulation 2018 and the Freedom of Information Act 2000. Managing record series using these retention guidelines will be deemed to be ‘normal processing’ under the legislation mentioned above. If record series are to be kept for longer or shorter periods than laid out in this document the reasons for this need to be documented.

Information retention and disposal checklist: archive periods

# Finance and Procurement

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| **Description** | **Record** | **Retention Period** | **Action** | **Citation** |
| Financial Management | Records documenting the development and establishment of the Finance Strategy. | Superseded + 10 years | Review or  Archive Value | n/a |
| Records documenting the monitoring of performance against the organisation KPIs - core data | Current financial year + 1 year | Destroy | n/a |
| Records documenting the monitoring of performance against the organisation KPIs - reports | Current financial year + 10 years    Last action on audit + 6 years | Review or  Archive Value | n/a |
| Financial Audit | Records documenting the conduct and results of financial audits, and action taken to address | Current financial year + 6 years | Destroy | 1980 c.58 |
| Financial Accounting | Records documenting the issue of sales invoices and the processing of incoming payments | Current financial year + 6 years | Destroy | 1970 c.9  1980 c.58  1994 c.23 |
| Records documenting the receipt and payment of purchase invoices | Current financial year + 6 years | Destroy | 1970 c.9  1980 c.58  1994 c.23 |
| Records of the handling of petty cash | Current financial year + 6 years | Destroy | 1970 c.9  1980 c.58  1994 c.23 |
| Records of the receipt and processing of students’ fees | Current financial year + 6 years | Destroy | 1970 c.9  1980 c.58 |
| Records documenting the preparation of the organisations statutory accounts | Current financial year + 6 years | Destroy | 1980 c.58 |
| Annual accounts | Closure of account + 6 years | Archive | 1970 c.9 |

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| **Description** | **Record** | **Retention Period** | **Action** | **Citation** |
| Financial Accounting | Records of opening, closing and routine administering of bank accounts | Current financial year + 6 years | Destroy | 1980 c.58 |
| Records of standing order, direct debits | Life of instruction + 6 years | Destroy | 1980 c.58 |
| Records of routine bank account deposits/ withdrawals/transfers (paying-in slips, transfer instructions, bank statements etc.) | Current financial year + 6 years | Destroy | 1980 c.58  1970 c.9 |
| Records of the processing of internal accounting transactions between operating unitys (i.e. crosscharges) | Current financial year + 1 year | Destroy | n/a |
| Management Accounting | Records documenting analyses of the internal deployment of the organisation’s financial resources | Current financial year +1 year | Destroy | n/a |
| Management Account Journals | Current financial year + 6 years | Destroy | n/a |
| Financial systems documentation | Life of system | Destroy | n/a |
| Financial Statement | Permanently | n/a | n/a |
| Budget management | Preparation of annual operating budgets | Current financial year + 1 year | Destroy | n/a |
| Monitoring of income and expenditure against annual operating budgets, and action take to deal with variances | Current financial year + 1 year | Destroy | n/a |
| Funding administration | Administering annual funding allocations from appropriate statutory funding bodies (inc correspondence, invoices) | Current financial year + 10 years | Destroy | n/a |

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| **Description** | **Record** | **Retention Period** | **Action** | **Citation** |
| Payroll Administration | Calculation and payment of payroll payments to employees | Current tax year + 6 years | Destroy | 1970 c.9  1980 c.58  1993/774  1999/584 |
| Employees’ authorisation for non-statutory payroll deductions e.g. gym membership, nursery vouchers, travel loans, etc | Current tax year + 6 years | Destroy | 1980 c.587 |
| Records documenting the operation of the statutory sick pay scheme | Current tax year + 3 years | Destroy | 1982/894 |
| Records documenting the operations of statutory maternity scheme | Current tax year + 3 years | Destroy | 1986/1960 |
| Records documenting the payment and/or reimbursement of employees’ and Board members’ expenses | Current financial year + 6 years    Current financial year + 2 years | Destroy | 1970 c.9  1980 c.58 |
| Payroll reconciliation | Termination of employment + 75 years | Destroy |  |
| Pension Administration | Records documenting payments of the organisation’s employer’s contributions to pensions schemes for its employees | Termination of employment + 75 years | Destroy | 1980 c.58 |
| Records of payment of employee’s contribution to pension schemes | Current tax year + 6 years | Destroy | 1980 c.58 |
| Tax Management | Records documenting the preparation and filing of the organisation’s tax returns | Current tax year + 6 years | Destroy | 1994 c.23 |
| Assessment of tax liabilities | Current tax year + 6 years | Destroy | 1994 c.23 |
| VAT account | Current tax year + 3 years | Destroy | 1994 c.23 |
| PAYE/NI/returns on subcontractors | Commencement of policy + 40 years | Destroy | 1970 c.9 |

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| **Description** | **Record** | **Retention Period** | **Action** | **Citation** |
| Insurance Management  Policy | Records documenting the arrangement and renewal of insurance policies to meet defined requirements and legal obligations: Employers’ Liability insurance (organisations has exemption certificate) | Commencement of policy + 40 years  OR  Renewal of policy + 40 years | Destroy | 1980 c.58 |
| Records documenting the arrangement and renewal of insurance policies to meet defined requirements and legal obligations: all other insurance | Expiry of policy + 6 years | Destroy | 1980 c.58 |
| Records documenting claims made under insurance policies: property and other claims | Settlement of claim + 6 years OR  Withdrawal of claim + 6 years | Destroy | 1980 c.58 |
| Records documenting claims made under insurance policies: liability/personal injury/nurture claims | Permanent | N/A | 1980 c.58 |
| Asset Management | Valuation of capital assets | Current financial year + 6 years | Review for Archive | 1970 c.9 |
| Records documenting the disposal of capital assets | Disposal financial year + 6 years | Review for Archive | 1970 c.9  1980 c.58 |
| Supplier approval | Records documenting supplier evaluation criteria | Superseded + 5 years | Destroy | n/a |
| Records documenting invitation to prospective suppliers to apply for approval | Expiry of invitation  OR  Rejection of application + 6 months completion of approval | Destroy | n/a |
| Records documenting the evaluation of applications for approval for prospective suppliers, and notification of the outcome: approved suppliers. | Termination of approval | Destroy | n/a |

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| **Description** | **Record** | **Retention Period** | **Action** | **Citation** |
| Supplier approval | Records documenting the evaluation of applications for approval from prospective suppliers, an notification of the outcome: rejected suppliers | Rejection + 1 year | Destroy | n/a |
| Supplier database | While current | Destroy | n/a |
| Supply contract tendering | Records documenting the process of inviting and evaluating pre-qualification submissions from prospective suppliers | Award of supply contract + 1 year | Destroy | 191/2680  1993/3228  1995/201 |
| Records documenting invitation to tender and tender evaluation criteria | Termination of supply contract awarded + 6 years | Destroy | 1980 c.58  1991/2680  1993/3228  1995/201 |
| Records documenting the issues of Invitation to Tender and handling of incoming tenders | Award of supply contract + 1 year | Destroy | 1991/2680  1993/3228  1995/201 |
| Records documenting the evaluation of tenders, the conduct of negotiations with tenders and the notification of the results of the tender evaluation process: rejected tenders | Award of supply contract + 1 year | Destroy | 1991/2680  1993/3228  1995/201 |
| Records documenting the evaluation of tenders the conduct of negotiations with tenders and the notification of the results of the tender evaluation process: accepted tenders | Termination of supply contract awarded + 6 years | Destroy | 1980 c.58  1991/2680  1993/3228  1995/201 |
| Contract aware report (as required by the regulations cited) | Termination of supply contract awarded + 6 years | Destroy | 1980 c.58  1991/2680  1993/3228  1995/201 |
| Statistical reports on contracts awarded (as required by external financial regulations) | Date of creation + 3 years | Destroy | 1980 c.58  1991/2680  1993/3228  1995/201 |

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| **Description** | **Record** | **Retention Period** | **Action** | **Citation** |
| Supply contract management | Records documenting variations to contracts (e.g.  revisions, extensions) | Termination of contract + 6 years | Destroy | 1980 c.58 |
| Records documenting the monitoring of supplier performance and action taken regarding underperformance | Termination of contract + 6 years | Destroy | 1980 c.58 |
| Purchasing administration | Records documenting purchasing authorisation limits. | Superseded + 1 year | Destroy | n/a |
| Records document internal authorisation for procurement. | Current financial year + 1 year | Destroy | n/a |
| Strategy, policies and procedures | HR Strategy: Master copy | Permanent | Retain |  |
| HR Strategy: Working papers | Adoption + 2 years | Destroy | n/a |
| HR Policies | Superseded + 5 years | Destroy | n/a |
| HR Policies: Working papers | Adoption + 2 years | Destroy | n/a |
| HR Procedures and guidance | Adoption + 2 years | Destroy | n/a |
| HR Procedures and Guidance working papers | Adoption + 2 years | Destroy | n/a |
| Workforce Planning | Assessment and analysis of workforce requirements and the identification and evaluation of options for meeting requirements | Creation + 5 years | Review | 1980 c.58 s.2 |
| Records documenting management succession or restructuring plans | Superseded + 5 years | Review | n/a |
| Records documenting the internal analysis and discussion for the creation of a new post | Creation + 3 years | Destroy | n/a |

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| **Description** | **Record** | **Retention Period** | **Action** | **Citation** |
| Workforce Planning | Job evaluation exercises: working papers | Completion + 1 year | Destroy | n/a |
| Job evaluation exercises: results | Completion + 10 years | Destroy | n/a |
| Recruitment | Individual job description and personal specification | Termination + 6 years | Destroy | n/a |
| Grading of individual jobs: outcomes | Superseded + 10 years | Destroy | n/a |
| Grading of individual jobs: correspondence and working papers | Upon advertisement of post | Destroy | n/a |
| Authorisation to recruit | Completion of appointment + 5 years | Destroy | n/a |
| Advertisement of vacancies; working papers | Appointment of successful candidate + 6 months | Destroy | 1. c.65 2. c.74   1995 c.50 |
| Advertisement text (screenshot) | Termination of employment in role | Destroy | n/a |
| Enquiries about vacancies and requests for application forms | Completion of appointment + 6 months | Destroy | n/a |
| Review/short listing of applicants | Completion of appointment + 5 years | Destroy | n/a |
| Selection of staff: interview notes, test results (successful and unsuccessful candidates) | Completion of appointment + 6 years | Destroy | n/a |
| Application forms (excluding equal opportunities monitoring form) and CVs: successful candidates | Retain for 6 years after termination of employment. | Destroy | 1980 c.58 s.2 |

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| **Description** | **Record** | **Retention Period** | **Action** | **Citation** |
| Recruitment | Application forms and CVs: unsuccessful candidates | Completion of appointment + 6 months | Destroy | n/a |
| References successful candidates | Provision of references + 6 months | Destroy | n/a |
| References unsuccessful candidates | Completion of appointment + 6 months | Destroy | n/a |
| Recommendation to recruit individual | Completion of appointment + 5 years | Destroy | n/a |
| DBS clearance documentation | Date of clearance + up to a maximum of 6 months | Destroy | DBS code of practice |
| Clearance to work documentation | Retain for 6 years after termination of employment | Destroy | n/a |
| Equal opportunities form | Immediately after information entered onto database | Destroy | n/a |
| Equal opportunities database information | Entry + 10 years | Destroy | n/a |
| Equal opportunities regular statistical reports | Creation + 10 years | Destroy | n/a |
| Equal opportunities ad hoc statistical reports | Creation + 2 years | Destroy | n/a |
| Data for analyses of recruitment effectiveness | Analyses + 6 months | Destroy | n/a |
| Analyses of recruitment effectiveness | Analyses + 3 years | Destroy | n/a |
| Unsolicited applications | Reply + 6 months | Destroy | n/a |

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| **Description** | **Record** | **Retention Period** | **Action** | **Citation** |
| Training, development, induction and performance | Identification of staff development needs and the development of plans to meet those needs | Creation + 5 years | Review | 1980 c.58 s.2 |
| Records documenting the development, overall delivery and assessment of induction or other training programme | Current year + 2 years | Destroy | n/a |
| Feedback analysis of induction or other training programmes. | Current year + 2 years | Destroy | n/a |
| Records documenting the administration of induction or other training sessions, including feedback forms | Current year + 1 year | Destroy | n/a |
| Records documenting analyses of the impact of training and development programmes | Current year + 4 years | Destroy | n/a |
| Probation review/reports | Current year + 2 years | Destroy | n/a |
| Annual appraisal documents | Current year + 5 years | Destroy | n/a |
| Quarterly appraisal documents | Current year + 2 years | Destroy | n/a |
| Remuneration and reward | Records documenting the development of the organisation’s remuneration structure and strategy | Superseded + 6 years | Review | n/a |
| Records documenting pay reviews | Creation + 6 years | Review | n/a |
| Records documenting reward and progression schemes | Creation + 6 years | Review | 1980 c.58 s.2 |
| Records documenting individuals wage/salary records | Creation + 6 years | Review | 1980 c.58 s.2 |

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| **Description** | **Record** | **Retention Period** | **Action** | **Citation** |
| Workforce Relations | Grievances: record of investigations where allegation are unsubstantiated | Conclusion of investigation + 6 months (a note may be retained showing the investigation too place but allegation  was unsubstantiated ) | Destroy | n/a |
| Grievances: record of investigation and outcomes | Last action of investigation + 6 years | Destroy | 1980 c.58 s.2 |
| Disciplinary: record of investigation where allegation are unsubstantiated | Conclusion of investigation + 6 months ( a note may be retained showing investigation took place but allegation was unsubstantiated) | Destroy | n/a |
| Disciplinary: Oral warnings | Date of issue + 1 year | Destroy | 1980 c.58 s.2 |
| Disciplinary: written and other formal warnings | Retain for period stipulated when issued (usually date of issue + 1 year) | Destroy | 1980 c.58 s.2 |
| Equality complaints handling (Human Resources related) | Last action of investigation + 6 years | Destroy | 1980 c.58 s.2 |
| Workforce surveys and consultations | Completion of survey + 5 years | Review | n/a |
| Workforce – individual responses to surveys | Completion of analysis | Destroy | n/a |
| Workforce – summary of survey results | Completion of survey + 5 years | Review | n/a |
| Performance assessment development | Life of assessment + 5 years | Review | n/a |
| Summary results of performance assessments (anonymous) | Current year + 3 years | Review | n/a |

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| **Description** | **Record** | **Retention Period** | **Action** | **Citation** |
| Workforce Relations | Analysis of impact of performance assessments | Current year + 3 years | Review | n/a |
| Employee welfare | Development of welfare schemes and services | Current year + 3 years | Review | n/a |
| Monitoring of hours worked | Date of record + 2 years | Destroy | S.I 1998/1833 |
| Referrals to Occupational Health provider by self or manager | Last treatment + 10 years | Destroy | n/a |
| Industrial relations | Recognition of union | (De)recognition + 6 years | Review | 1980 c.58 s.2 |
| Agreements with unions | End of agreement + 10 years | Review | 1980 c.58 s.2 |
| Routine communication including minutes of meetings | Current year + 20 years | Review | n/a |
| Consultation and negotiations | Last action + 20 years | Review | n/a |
| Employee contract management | Contract of employment | Termination of employment + 6 years | Destroy | n/a |
| Changes to terms and conditions | Termination of employment + 6 years | Destroy | n/a |
| Records of termination of employment by resignation, redundancy (inc estimates), retirement, dismissal (excluding compromise agreements) | Termination of employment + 6 years | Destroy | 1980 c.58 s.5 |
| Individual staff: statutory leave entitlement e.g.  parental leave | Completion of entitlement + 6 years | Destroy | SI 1999/3312 |
| Income tax and National Insurance correspondence with HMRC | Termination of employment + 6 years | Destroy | n/a |
| Statutory sick pay and statutory maternity pay | Current tax year + 3 years | Destroy | n/a |

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| **Description** | **Record** | **Retention Period** | **Action** | **Citation** |
| Employee contract management | Major injuries arising from workplace accidents, exposure to hazardous substances, disease | Termination of employment + 40 years | Destroy | n/a |
| Compromise agreements and agreed forms of reference | Termination of employment + 40 years | Destroy | n/a |
| Ex-staff records: pension files | Termination of employment + 75 years | Destroy | n/a |
| Pensions | Records documenting the organisation’s relationships with pension schemes | End of relationship + 5 years | Destroy | 1980 c.58 s.2 |
| Routine communications with the pension schemes | Creation + 5 years | Destroy | 1980 c.58 s.2 |
| Individual staff pension information (inc opt in/out form) | Termination of employment + 6 years | Destroy | 1980 c.58 s.2 |
| Records in relation to ex-staff now pensioners | Cessation of benefits + 12 years | Destroy | n/a |
| Management information | Senior HR team minutes and papers master set | Permanent | Retain | n/a |
| Staff committee minutes and papers: master set | Permanent | Retain | n/a |
| Statistics on staff turnover | Creation + 5 years | Destroy | n/a |
| Benchmarking results for short term contracts | Creation + 10 years | Destroy | n/a |
| Contracts and agreements | Records documenting the negotiation, establishment and review of contracts and agreements between the organisation and third parties: agreements and contracts under seal (by deed) | Termination of contract + 12 years | Destroy | 1980 c.58 s.8 |
| Records documenting the negotiation, establishment and review of contracts and agreements between the organisation and third parties: other contracts and agreements | Termination of contract + 6 years | Destroy | 1980 c.58 s.8 |
| **Description** | **Record** | **Retention Period** | **Action** | **Citation** |
| Legal Claims | Records documenting the provision of legal support and representation for the organisation in dealing with claims by or against the organisation which do not proceed to litigation or settlement by an agreement | Settlement of claim + 6 years  OR  Withdrawal of claim + 6 years | Destroy | 1980 c.58 s.8 |
| Records documenting litigation between the organisation and third parties where legal precedents are set | Life of organisation | Permanent | n/a |
| Records documenting litigation between the organisation and third parties which does not set legal precedents | Settlement of case + 6 year | Destroy | 1980 c.58 s.2 and s.5 |
| Legal interpretation and advice (records documenting legal advice requested by, and provided to, the organisation, concerning) | Interpretation of legislation affecting the organisation’s legal framework, governance, responsibilities or operations | Life of organisation | Permanent | n/a |
| Proposals for new legislation affective the organisation’s legal framework, governance, responsibilities or operations | Life of organisation | Permanent | n/a |
| The organisation’s relationships with government bodies and regulators | Life of organisation | Permanent | n/a |
| Industrial relations issues | Life of organisation | Permanent | n/a |
| Health, safety and environmental issues | Life of organisation | Permanent | n/a |
| Records documenting legal advice on other matters requested by, and provided to, the organisation | Superseded + 5 years | Destroy | n/a |
| Property acquisition | Records documenting the acquisition of ownership of properties | Ownership of property | Destroy | n/a |
| Deeds and certificates of title for properties owned by the institution | Ownership of property | Destroy | n/a |

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| **Description** | **Record** | **Retention Period** | **Action** | **Citation** |
| Property acquisition | Records documenting negotiations for properties where the property was not acquired | Closure of negotiations + 6 years | Destroy | 1980 c.58 |
| Records documenting the acquisition of use of properties by lease or rental | Disposal of property + 6 years | Destroy | 1980 c.58 |
| Property Disposal | Records documenting the disposal of properties | Disposal of property + 6 years | Destroy | 1980 c.58 |
| Legal Framework | Records documenting the establishment and development of the organisation’s legal framework | Life of organisations | Permanent | n/a |
| Governing body/ Board Management  Governing body/ Board  Management | Records documenting the appointment of members of the governing body/board. This information will be retained by the Legal Services Board | Termination of appointment + 6 years | Destroy | 1980 c.58 s.5 |
| Records documenting the provision of training and development for members of the governing body//board. This information will be retained by the Legal Services Board. | Date of creation + 3 years | Destroy | n/a |
| Records documenting the arrangements of meetings of the governing body/Board. | Date of creation + 1 year | Destroy | n/a |
| Records documenting the conduct and proceeding of meetings of the governing body/board, agenda, minutes and supporting papers. | Date of creation + 50 years | Review | n/a |
| Board committee administration | Records documenting the development and establishment of terms of reference for committees. | Life of organisation | Permanent | n/a |
| Records documenting the appointment of members of the committees. | Termination of appointment + 6 years | Destroy | 1980 c.58 s.5 |
| Records documenting the provision of training and development committee members. | Termination of appointment + 6 years | Destroy | n/a |

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| **Description** | **Record** | **Retention Period** | **Action** | **Citation** |
| Board committee administration | Records documenting training undertaken by individual member of a committee | Termination of appointment + 6 years | Destroy | 1980 c.58 s.2 and s.5 |
| Records documenting the arrangements for meetings of a committee. | Current year + 1 year | Destroy | n/a |
| Records documenting the organisations of meetings of Board Committees | Date of creation + 1 year | Destroy | n/a |
| Records documenting the conduct and proceedings of meetings of Board committees, agenda, minutes and supporting papers | Date of creation + 50 years | Review | n/a |
| Organisation committee administration | Records documenting the development and establishment of the terms of reference, and the rules and procedures, for a committee | Life of committee + 6 years | Destroy | 1980 c.58 s.5 |
| Records documenting the appointment / election / designation of members of a committee | Termination of membership + 6 years | Destroy | 1980 c.58 s.5 |
| Records documenting the arrangements for meetings of a committee | Current year + 1 year | Destroy | n/a |
| Records documenting the conduct of the business of a committee: agenda, minutes and supporting papers | Life of committee + 5 years | Destroy | n/a |
| Records documenting the conduct of the business of a committee: correspondence and other records relating to the preparation of committee business or to actions to be taken (or not taken) as a result of committee decisions. | Current year + 5 years | Destroy | n/a |
| Records documenting the  appointment/election/designation of the organisation’s senior officers | Termination of appointment + 6 years | Destroy | 1980 c.58 s.5 |

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| **Description** | **Record** | **Retention Period** | **Action** | **Citation** |
| Public interest disclosure  (whistleblowing) investigation | Records documenting the investigation, determination and resolution of an allegation made by a member of staff under the public interest disclosure act 1998 | Closure of case + 6 years | Destroy | 1980 c.58 s.2 and s.5 |
| Official external representation (the activities involved in representing the organisation officially on external bodies) | Records documenting the  appointment/designation of staff to officially represent the organisation | Termination of representation | Destroy | n/a |
| Risk Management identification and assessment | Records documenting identified risks to the organisation and assessments of those risks | Superseded + 1 year | Destroy | n/a |
| Business continuity planning | Records documenting identified risks to the organisation and assessments of those risks | Superseded + 1 year | Destroy | n/a |
| Internal and external audit management | Records documenting the planning of audits | Completion of Audit + 5 years | Destroy | n/a |
| Records documenting the conduct of audits | Completion of Audit + 5 years | Destroy | n/a |
| Records documenting the results of audits | Life of organisation | Permanent | n/a |
| Records reviewing and responding to audit reports, including drawing up action plans to address issues raised | Life of organisation | Permanent | n/a |
| Organisation strategy development | Records documenting the development and establishment of strategy | Superseded + 10 years | Review | n/a |
| Organisation business planning | Records documenting the formulation of plans for implementing strategy | Superseded + 3 years | Review | n/a |

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| **Description** | **Record** | **Retention Period** | **Action** | **Citation** |
| Organisation policy and procedural development | Policy development working papers | Superseded + 2 years | Review | n/a |
| Approved policy | Superseded + 10 years | Review | n/a |
| Procedure development working papers | Superseded + 1 year | Review | n/a |
| Approved procedure | Superseded + 5 years | Review | n/a |
| Case management | Complaint case file including case call recording | Closure/last contact + 1 year | Destroy | n/a |
| Non-case call recording | Closure/last contact + 1 year | Destroy | n/a |
| Internal complaints | Complaints case file including case call recording | Closure/last contact + 1 year | Destroy | n/a |
| Non-case call recording | Closure/last contact + 1 year | Destroy | n/a |
| Subject access requests (Data Protection Act) | Request for information | Closure/last contact + 1 year | Destroy | n/a |
| Freedom of information requests | n/a | n/a | n/a | n/a |
| Environmental information requests | n/a | n/a | n/a | n/a |
| Performance Management | Performance monitoring reports | Current year + 3 years | Review | n/a |
| Performance monitoring data and analysis | Current year + 3 years | Review | n/a |
| Audit reviews, results and responses | Current year + 3 years | Review | n/a |

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| **Description** | **Record** | **Retention Period** | **Action** | **Citation** |
| Quality Standards  Management | Annual performance monitoring | Current year + 3 years | Review | n/a |
| Internal reviews and audit | Current year + 3 years | Review | n/a |
| Customer feedback: data and analysis | Current year + 3 years | Review | n/a |
| Customer feedback: reports | Current year + 3 years | Review | n/a |
| Development of the organisation’s internal quality assurance processes. | Current year + 3 years | Review | n/a |
| Conduct and results of internal and external review of research quality, and responses to the results | Current year + 3 years | Review | n/a |
| Research and enterprise | Records of the development, establishment and implementation of the organisation’s research strategy | Superseded + 10 years | Review | n/a |
| Records of strategy review (includes all data, reports and audit material) | Current year + 10 years | Destroy | n/a |
| Announcements of research resulting in publication or through the media | Issue of announcement + 3 years | Destroy | n/a |
| Preparation of publications, presentations, demonstrations or other means of disseminating research results. | Publication / delivery + 3 years | Destroy | n/a |
| Project Management | Records documenting the management of internally-funded research projects (e.g. budgets staff etc.) | Completion of project + 3 years | Destroy | n/a |
| Records documenting the management of externally-funded research projects (e.g. budgets, staff etc.) | Completion of project + 6 years (unless a longer period is required by sponsor contract) | Destroy | 1980 c.58 |

**Retention schedule citations**

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| --- | --- |
| **Acts of the UK Parliament**  1957 c.31 Occupiers Liability Act 1957   1. c.57 Employers' Liability (Compulsory Insurance) Act 1969 2. c.9 Taxes Management Act 1970   1970 c.41 Equal Pay Act 1970   1. c.37 Health and Safety at Work etc. Act 1974 2. c.65 Sex Discrimination Act 1975 3. c.74 Race Relations Act 1976   1980 c.58 Limitation Act 1980  1992 c.4 Social Security Contributions and Benefits Act 1992  1994 c.23 Value Added Tax Act 1994   1. c.30 Education Act 1994 2. c.50 Disability Discrimination Act 1995   1998 c.29 Data Protection Act 1998 | **Statutory instruments of the UK parliament**  S.I. 1977 / 500 The Safety Representatives and Safety Committees Regulations 1977  S.I. 1981 / 917 The Health and Safety (First Aid) Regulations 1981  S.I. 1982 / 894 The Statutory Sick Pay (General) Regulations 1982  S.I. 1986 / 1960 The Statutory Maternity Pay (General) Regulations 1986  S.I. 1989 / 635 The Electricity at Work Regulations 1989  S.I. 1989 / 682 The Health and Safety Information for Employees Regulations 1989  S.I. 1989 / 1790 The Noise at Work Regulations 1989  S.I. 1991 / 2680 The Public Works Contracts Regulations 1991  S.I. 1992 / 2792 The Health and Safety (Display Screen Equipment) Regulations 1992  S.I. 1992 / 2793 The Manual Handling Operations Regulations 1992  S.I. 1992 / 2932 The Provision and Use of Work Equipment Regulations 1992  S.I. 1992 / 2966 The Personal Protective Equipment at Work Regulations 1992  S.I. 1993 / 744 The Income Tax (Employments) Regulations 1993  S.I. 1993 / 3228 The Public Services Contracts Regulations 1993  S.I. 1995 / 201 The Public Supply Contracts Regulations 1995  S.I. 1995 / 3163 The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995  S.I. 1996 / 341 The Health and Safety (Safety Signs and Signals) Regulations 1996  S.I. 1996 / 972 The Special Waste Regulations 1996  S.I. 1996 / 1513 The Health and Safety (Consultation with Employees) Regulations 1996  S.I. 1997 / 1840 The Fire Precautions (Workplace) Regulations 1997  S.I. 1998 / 1833 The Working Time Regulations 1998  S.I. 1998 / 2306 The Provision and Use of Work Equipment Regulations 1998  S.I. 1998 / 2307 The Lifting Operations and Lifting Equipment Regulations 1998  S.I. 1998 / 2573 The Employers’ Liability (Compulsory Insurance) Regulations 1998  S.I. 1999 / 584 The National Minimum Wage Regulations 1998  S.I. 1999 / 3242 The Management of Health and Safety at Work Regulations 1999  S.I. 1999 / 3312 The Maternity and Parental Leave etc. Regulations 1999  S.I. 2002 / 2675 The Control of Asbestos at Work Regulations 2002  S.I. 2002 / 2676 The Control of Lead at Work Regulations 2002  S.I. 2002 / 2677 The Control of Substances Hazardous to Health Regulations 2002 |
| **Other provisions**  HMCE 700/21 HM Customs and Excise Notice 700/21: Keeping [VAT] records and accounts IR CA30 Statutory Sick Pay Manual for employers CA30 | |