



Document Management Policy: Guidelines

Document Retention Guidelines

These guidelines indicate the length of time that different classes of document should be retained, with the following objectives:

1. To maximise consistent practice throughout the University.
2. To ensure compliance with relevant statutory or regulatory requirements.
3. To minimise unnecessary retention of documents.

It is recognised that departments may have different requirements and operate under different regulatory regimes. The guidelines are not therefore intended to be prescriptive, rather they offer a series of generic templates that each department/area within the institution can either adopt unchanged or adapt to its own particular requirements.

However it is important, in the context of both data protection and freedom of information, that:

- a. The location of documents is known
- b. That when documents are disposed of, that disposal is carried out in an agreed time frame and in an appropriate manor.

In order that consistency of practice can be maximised across the institution all variations from the templates will be reviewed by the Registrar and Secretary and in some cases justification for the variation sought.

The templates below use the following conventions:

P	Kept permanently
R n	Reviewed after n years
L	Kept for lifetime of building, project or individuals association with University.
L n	Kept for lifetime of building, project or individuals association with University + n years
D n	Destroyed after n years

Generic Templates

Vice Chancellor/Deputy Vice Chancellor Offices

Committee agendas, papers & minutes [file copy]	P
Committee agendas, papers & minutes [additional copies]	D 1
Working group/party minutes/papers	R 5
Papers / publications from external bodies [HEFCE, QAA etc.]	R 3
Correspondence files	R 5
Financial records	D 6
Personnel files	L => personnel Dept.

Registry Services (including Data Management Unit)

Committee agendas, papers & minutes [file copy]	P
Committee agendas, papers & minutes [additional copies]	D 1
Working group/party minutes/papers	R 5
Papers / publications from external bodies [HEFCE, QAA etc.]	R 3
Correspondence files	R 5
Financial records	D 6
Personnel files	L => personnel Dept.
Student files (paper)	L 10
Statistical returns [HESA, HESES, TTA, FEFC etc]	P

Graduate Research School

Committee agendas, papers & minutes [file copy]	P
Committee agendas, papers & minutes [additional copies]	D 1
Working group/party minutes/papers	R 5
RAE papers & documentation	P
Correspondence files	R 5
Financial records	D 6
Personnel files [inc. CVs & Supervisor details]	L => personnel Dept.
Research student files	L => Registry Services
External supervisor files	L 5
Research Database	P

Academic Quality Unit

Committee agendas, papers & minutes [file copy]	P
Committee agendas, papers & minutes [additional copies]	D 1
Working group/party minutes/papers	R 5
Correspondence files	R 5
Financial records	D 6
Personnel files	L => personnel Dept.
Reports from external Professional & Statutory bodies [Ofsted, TTA, ENB, British Psychological Society etc.]	P
Reports of & management responses to QAA Inspections, Validation Reviews, Service Reviews, Departmental Reviews	P
Supporting papers & evidence from review & inspection events [base room contents]	R 5 [or after next review]
Annual Monitoring Reports	P
DVDs	P
External Examiners Reports	P
Quality Assurance Handbook	P

Personnel Department

Committee agendas, papers & minutes [file copy]	P
Committee agendas, papers & minutes [additional copies]	D 1
Working group/party minutes/papers	R 5
Correspondence files	R 5
Financial records	D 6
Personnel files	L 50
Payroll	L 50
Job Advertisement files	D 10
IIP Portfolios	P
Training / staff development	L 50
Health & Safety	
Accident Reports	D 50
Risk Assessment records	L 50

Finance Department

Committee agendas, papers & minutes [file copy]	P
Committee agendas, papers & minutes [additional copies]	D 1
Working group/party minutes/papers	R 5
Correspondence files	R 5
Institutional financial records	R 6
Dept. Financial records	D 6
Personnel files	L => personnel Dept.

Teaching Department / Faculty Offices / Service departments

Committee agendas, papers & minutes [file copy]	P
Committee agendas, papers & minutes [additional copies]	D 1
Working group/party minutes/papers	R 5
Correspondence files	R 5
Financial records	D 6
Personnel files	L => personnel Dept.
Student files	L => Registry Services
Timetabling	D2

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