

Records Retention Schedule

The Records Retention Schedule is a list of records managed and retained as part of business, research and academic activities at King's. Alongside each entry is an indication of how long the record should be kept; most records will ultimately be destroyed or deleted although the schedule also identifies records suitable for transfer to Archives & Research Collections for long term preservation.

The retention schedule supports the efficient management of records in all formats, both paper and digital, and promotes consistent practice by ensuring similar types of records are kept for the same amount of time, no matter where in the university they are held. The schedule also underscores compliance with legislative record keeping requirements including UK GDPR (General Data Protection Regulation and the Data Protection Act 2018) and the Code of Practice on the management of records issued under Section 46 of the Freedom of Information Act 2000.

I. How are retention rules set?

Retention rules for all university records are set according to legal, regulatory and business requirements and best practice across the HE sector. The retention schedule includes recommendations from Jisc (formerly the Joint Information Systems Committee) and is benchmarked against retention policies at comparable institutions including other Russell Group universities, the NHS, the National Archives, and the Information Commissioner's Office. The schedule is maintained by Corporate Records Management and approved by University Executive.

II. How to use the retention schedule

An eight-column layout provides:

- a *reference* number for each record
- a *description* for each record
- the name of the department with *responsibility* for management of the record
- the *legal reference* (where applicable) citing any statutory or regulatory requirement that underscores the retention rule
- the *retention rule*, the number of years a record should be retained within a department before it is destroyed or deleted
- *archive*, confirmation of whether the record is suitable for transfer to [King's College London Archives](#). This is for records with permanent historical, research or business value to the university
- *classification* reflects intended dissemination of university information in line with the [Information Classification Procedures](#):
 - External – intended to reach the widest possible audience
 - Internal – intended to reach staff and students
 - Restricted – intended for use by a limited group of users
 - Highly restricted – for use by a strictly defined group of users
- Additional *notes* to help manage the record

III. Review

The retention schedule will be regularly reviewed to reflect changes to business and legal record keeping requirements. For further information, please contact Corporate Records Management, email records-management@kcl.ac.uk.

Effective date: March 2022

Last review: April 2025

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Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
A.01.01	Management and organisation of student recruitment campaigns and events	External Relations	Institutional business requirements	5 years	No	Restricted	
A.01.02	Summary and analysis of student enquiry and recruitment data	External Relations	Institutional business requirements	5 years	No	Restricted	
A.01.03	Enquiries from prospective students	Student Services	Institutional business requirements	Resolution of enquiry + 18 months	No	Restricted	See also student enquiries

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
A.02	Unsuccessful applications and non-responders						
A.02.01	Unsuccessful applications	Admissions & Registry Services	UK GDPR	Current academic year + 6 years	No	Restricted	
A.02.02	No shows (applicants who accepted offers but did not attend)	Admissions & Registry Services	UK GDPR	Current academic year + 6 years	No	Restricted	
A.02.03	Non-responders (applicants who were made offers but did not accept or decline)	Admissions & Registry Services	UK GDPR	Current academic year + 6 years	No	Restricted	
A.02.04	Interview notes for unsuccessful applicants	Admissions & Registry Services Faculties and Departments	UK GDPR	Notification of outcome + 6 months	No	Restricted	
A.02.05	Criminal convictions declaration for unsuccessful applicants	Admissions & Registry Services	UK GDPR	Notification of outcome + 6 months	No	Highly restricted	Applies to convictions which are not spent under the Rehabilitation of Offenders Act 1974
A.02.06	Complaints about admissions service	Admissions & Registry Services	UK GDPR	Last action + 3 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
A.02.07	Appeals against non-admission	Admissions & Registry Services	UK GDPR	Last action + 6 years	No	Restricted	
A.03	Successful applications						
A.03.01	Online application form and related documentation. Includes offer of place, references, student photograph, student number and plagiarism statement	Admissions & Registry Services	UK GDPR	Permanent retention	Yes	Restricted	Part of corporate academic record
A.03.02	Interview notes for successful applicants	Admissions & Registry Services Faculties and Departments	UK GDPR	Retain until completion of study	No	Restricted	
A.03.03	Disclosure and Barring Service (DBS) checks	Admissions & Registry Services	UK GDPR	Completion of check + 6 months Student record should note that DBS check has been satisfactory or not satisfactory	No	Highly restricted	Required for work or studies involving children or vulnerable adults, such as education, nursing or medical programmes

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
A.03.04	Criminal convictions declaration for successful applicants	Admissions & Registry Services	UK GDPR	Completion of study + 6 years	No	Highly restricted	Applies to convictions which are not spent under the Rehabilitation of Offenders Act 1974
A.03.05	Occupational health assessments	Occupational Health provider	UK GDPR	Occupational health records are held by King's occupational health provider, Optima Health .	No	Highly restricted	Health assessments are a requirement of some professionally regulated programmes, further information is available from Health & Safety and Student Services .
A.04	Student induction						
A.04.01	Review of induction programmes for new students	Faculties and Departments	Institutional business requirements	Life of programme + 5 years	No	Internal	
A.04.02	Administration of programmes and events for new students	Faculties and Departments	Institutional business requirements	1 year	No	Internal	
A.05	Student progression						

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
A.05.01	Corporate academic record, including registration and progression documents and related correspondence	Registry Services Faculties and Departments	UK GDPR	Permanent retention Academic records are required for references and confirmation of study purposes and may be retained for the lifetime of the student (80 years). Core information is retained indefinitely and transferred to the university archives.	Yes	Restricted	Transfer paper files to Records Management Service . Majority of data relating to student progression and results will be held on SITS.
A.05.02	Module registration	Registry Services Faculties and Departments	UK GDPR	Permanent retention	Yes	Restricted	Part of corporate academic record
A.05.03	Change of course	Registry Services Faculties and Departments	UK GDPR	Permanent retention	Yes	Restricted	Part of corporate academic record
A.05.04	Withdrawal or interruption of studies	Registry Services Faculties and Departments	UK GDPR	Permanent retention	Yes	Restricted	Part of corporate academic record

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
A.05.05	Clinical assessments	Registry Services Faculties and Departments	UK GDPR	Permanent retention	Yes	Restricted	Part of corporate academic record
A.05.06	Fitness to practise documentation	Registry Services Faculties and Departments	UK GDPR	Permanent retention	Yes	Restricted	Part of corporate academic record
A.05.07	Student exchanges and study abroad	Registry Services Faculties and Departments	UK GDPR	Permanent retention	Yes	Restricted	Part of corporate academic record
A.05.08	Medical exchanges and electives	Registry Services Faculties and Departments	UK GDPR	Permanent retention	Yes	Restricted	Part of corporate academic record
A.05.09	Student placement support forms	Registry Services Faculties and Departments	UK GDPR	Completion of study + 6 years	No	Highly restricted	
A.05.10	Transcript, including module results and final award	Registry Services Faculties and Departments	UK GDPR	Permanent retention	Yes	Restricted	Part of corporate academic record

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
A.05.11	Formal actions taken due to unsatisfactory progress, including termination of study	Registry Services Faculties and Departments	UK GDPR	Permanent retention	Yes	Restricted	Part of corporate academic record
A.06	Student awards						
A.06.01	Pass lists	Examinations Office	UK GDPR	Permanent retention	Yes	Restricted	
A.06.02	Graduation list	Ceremonies & Events	UK GDPR	2 years	No	Internal	
A.06.03	Graduation ceremony programmes	Ceremonies & Events	UK GDPR	7 years	Yes	External	Available at public ceremonies and published on university website
A.06.04	Travel award reports, including final report	Ceremonies & Events	UK GDPR	6 years	No	Restricted	
A.06.05	Honorary awards	Governance Services	UK GDPR	Permanent retention	Yes	Highly restricted	Conferred by the Fellowships and Honorary Degrees Committee
A.06.06	Associate of King's College (AKC) awards	Dean's Office	UK GDPR	Permanent retention	Yes	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
A.07	Student enquiries						
A.07.01	Enquiries from prospective students	Student Services Faculties and Departments	UK GDPR	Resolution of enquiry + 18 months	No	Restricted	Data held in enquiry management system or Microsoft 365
A.07.02	Enquiries from current students	Student Services Faculties and Departments	UK GDPR	Completion of study + 18 months	No	Restricted	Data held in enquiry management system or Microsoft 365
A.07.03	Enquiries from former students	Student Services Faculties and Departments	UK GDPR	Resolution of enquiry + 18 months	No	Restricted	Data held in enquiry management system or Microsoft 365
A.07.04	Enquiries from third parties	Student Services Faculties and Departments	UK GDPR	Resolution of enquiry + 18 months	No	Restricted	Data held in enquiry management system or Microsoft 365
A.08	Prize administration						
A.08.01	Prize book	Ceremonies & Events	Institutional business requirements	Permanent retention	Yes	External	
A.08.02	Unsuccessful prize application or nomination	Ceremonies & Events	UK GDPR	1 year	No	Highly restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
A.08.03	Successful prize application or nomination	Ceremonies & Events	UK GDPR	Current year + 6 years	No	Highly restricted	
A.08.04	Formal letter confirming prize award	Ceremonies & Events	UK GDPR	Current year + 6 years	Yes	Highly restricted	Retained permanently on SITS
A.08.05	Copy of prize certificate	Ceremonies & Events	UK GDPR	Current year + 6 years	No	Restricted	
A.08.06	Letter to prize donor confirming recipient	Ceremonies & Events	UK GDPR	Current year + 6 years	No	Highly restricted	
A.09	Postgraduate research						
A.09.01	Successful scholarship and studentship applications	Centre for Doctoral Studies	UK GDPR	Current year + 6 years	No	Highly restricted	
A.09.02	Unsuccessful scholarship and studentship applications	Centre for Doctoral Studies	UK GDPR	Current year + 1 year	No	Highly restricted	
A.09.03	Scholarship and studentship selection panel papers	Centre for Doctoral Studies	UK GDPR	Current year + 6 years	No	Highly restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
A.09.04	Maintenance grants	Centre for Doctoral Studies	UK GDPR	Financial year + 6 years	No	Restricted	
A.09.05	Student expense claims	Centre for Doctoral Studies	UK GDPR	Financial year + 2 years Applies to local copy held by Centre for Doctoral Studies. Master copies of all expense claims are retained by Finance & Planning for 7 years	No	Restricted	
A.09.06	Invoices to external bodies	Centre for Doctoral Studies	Institutional business requirements	Retain copy locally for 2 years. Original invoices are retained by Finance & Planning for 7 years			
A.10	Personal tutors						
A.10.01	Student and tutor meeting notes	Personal tutors	UK GDPR	Completion of study + 2 years	No	Restricted	
A.10.02	Student references	Personal tutors	UK GDPR	Retain for reuse as required	No	Restricted	

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Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
B.01.01	Staff-Student Liaison Committees	Faculties and Departments	Institutional business requirements	6 years	No	Internal	
B.01.02	Student surveys – individual responses	Faculties and Departments Students & Education	UK GDPR	Completion of analysis of responses	No	Restricted	
B.01.03	Student surveys – anonymous summary, results and analysis of responses	Faculties and Departments	Institutional business requirements	Retain for reference or reporting as required. This will be dependent	No	Restricted	Anonymised data

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
		Students & Education		on the purpose of the survey.			
B.01.04	Contact details for alumni obtained by consent for marketing of programmes or events	Faculties and Departments	UK GDPR	Last interaction + 7 years Interaction is defined as engagement with content and includes an individual making contact with the Faculty or Department, attending an event or opening an email	No	Restricted	Personal data should be collected and held in compliance with UK GDPR. See guidance from Information Compliance
B.02	Counselling & Mental Health Support						
B.02.01	Student case files and counsellor or mental health advisor notes	Counselling & Mental Health Support	UK GDPR	Last action on case + 6 years	No	Highly restricted	
B.02.02	General enquiries	Counselling & Mental Health Support	UK GDPR	Resolution of enquiry + 2 years	No	Restricted	
B.02.03	Attendance lists for groups and workshops	Counselling & Mental Health Support	UK GDPR	Completion of event + 1 year	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
B.02.04	Memoranda of association with other institutions and universities	Counselling & Mental Health Support	Institutional business requirements	Life of partnership + 6 years	No	Restricted	
B.03	Health Centre						
B.03.01	Patient files	King's College London NHS Health Centre	NHS Records Management Code of Practice	Life of patient + 10 years Records may be transferred to a new health care provider during this time. Records of de-registered patients are retained for 100 years	No	Restricted	Patient records are owned by the NHS and not King's College London. Retention periods for these records are set by the NHS.
B.04	Disability Support						
B.04.01	King's Inclusion Plan	Disability Support Team Faculties and Departments	UK GDPR Equality Act 2010	Completion of study + 6 years	No	Highly restricted	
B.04.02	Personalised Assessment Arrangements,	Examinations Office	UK GDPR Equality Act 2010	Completion of study + 6 years	No	Highly restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
	including supporting evidence						
B.04.03	Diagnostic assessment for Specific Learning Disabilities	Disability Support Team	UK GDPR Equality Act 2010	Completion of study + 6 years	No	Highly restricted	
B.05	Student Advice Service						
B.05.01	Student case files	Student Support & Wellbeing Services	UK GDPR	Last action on case + 6 years	No	Highly restricted	
B.05.02	General enquiries	Student Support & Wellbeing Services	UK GDPR	Resolution of enquiry + 2 years	No	Restricted	
B.05.03	Attendance lists for groups and workshops	Student Support & Wellbeing Services	UK GDPR	Completion of event + 1 year	No	Restricted	
B.06	Careers & Employability						
B.06.01	Careers Service strategic plan	Careers & Employability	Institutional business requirements	5 years	No	Restricted	
B.06.02	Careers Service annual report	Careers & Employability	Institutional business requirements	Permanent retention	Yes	External	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
B.06.03	Graduate Outcomes survey – graduate contact details (mandatory return to HESA)	Careers & Employability	UK GDPR	Completion of survey year + 2 years Following confirmation from HESA that return is not required for audit purposes	No	Restricted	Graduate contact details are passed to HESA
B.06.04	Graduate Outcomes survey – response data	Careers & Employability	Institutional business requirements	Permanent retention Response data is only shared in anonymised and summarised form to ensure that no graduate can be individually identified	No	External	Data (rounded and suppressed for small numbers) is shared externally by Marketing, Faculties and Departments and in response to FoI requests
B.06.05	One-to-one career appointment records and discussion notes	Careers & Employability	UK GDPR	Completion of study + 2 years	No	Restricted	Handled via TargetConnect, the Careers Service Management System
B.06.06	Event sign-up and attendance records	Careers & Employability	UK GDPR	Completion of study + 2 years	No	Restricted	Handled via TargetConnect, the Careers Service Management System
B.06.07	Practice aptitude test records	Careers & Employability	UK GDPR	1 year	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
B.06.08	King's Internships or Year-in-Industry placements	Careers & Employability	UK GDPR	5 years	No	Restricted	Part of Higher Education Achievement Record (HEAR)
B.07	King's Experience Awards						
B.07.01	Successful application for King's Experience Award	Careers & Employability	UK GDPR	Date of award + 1 year	No	Restricted	
B.07.02	Unsuccessful application for King's Experience Award	Careers & Employability	UK GDPR	Notification of outcome + 6 months	No	Restricted	
B.07.03	Assessment or submission for King's Experience Award	Careers & Employability	UK GDPR	End of academic year + 1 year	No	Restricted	
B.07.04	Master list of award holders by academic year	Careers & Employability	UK GDPR	Permanent retention	No	Restricted	Part of Higher Education Achievement Record (HEAR)
B.07.05	Student Opportunity Fund report and receipts	Careers & Employability	UK GDPR	End of financial year + 6 years	No	Restricted	
B.08	Student Conduct & Appeals						

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
B.08.01	Student conduct and appeals case files	Student Conduct & Appeals	UK GDPR	Last action on case + 6 years	No	Highly restricted	
B.08.02	Formal complaints (Stage Two and Three) by students against the university	Student Conduct & Appeals	UK GDPR	Last action on case + 6 years	No	Highly restricted	Further details on student complaints are available online
B.08.03	Informal complaints (Stage One) by students against the university	Faculties and Departments	UK GDPR	Last action on complaint + 3 years	No	Highly restricted	Further details on student complaints are available online
B.08.04	Academic appeals (Stage One and Two) against decisions made by Faculty Assessment Boards	Student Conduct & Appeals	UK GDPR	Last action on case + 6 years	No	Highly restricted	Further information on academic appeals is available online
B.08.05	Support for Study (Stage One and Two) documentation and outcomes	Faculties and Departments	UK GDPR	Last action on case + 6 years	No	Highly restricted	Support for Study policy and procedures are available online
B.08.06	Support for Study (Stage Three) documentation and outcomes	Student Conduct & Appeals	UK GDPR	Last action on case + 6 years	No	Highly restricted	Support for Study policy and procedures are available online

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
B.08.07	Non-academic misconduct	Student Conduct & Appeals Faculties and Departments	UK GDPR	Last action on case + 6 years	No	Highly restricted	Further information on non-academic misconduct is available online
B.08.08	Postgraduate research student appeals	Student Conduct & Appeals	UK GDPR	Last action on case + 6 years	No	Highly restricted	Further information on PGR appeals is available online
B.08.09	Admissions appeals (Stage One and Two)	Admissions Office Faculties and Departments Students & Education	UK GDPR	Last action on case + 2 years	No	Restricted	Further information on admissions appeals is available online
B.08.10	Cases referred to the Office of the Independent Adjudicator for Higher Education (OIA)	Student Conduct & Appeals	UK GDPR	Last action on case + 6 years	No	Highly restricted	Further details on OIA referral are available online
B.08.11	Appeal Committee – minutes and papers	Student Conduct & Appeals	UK GDPR	End of academic year + 6 years	No	Highly restricted	
B.08.12	Misconduct Committee – minutes and papers	Student Conduct & Appeals	Institutional business requirements	End of academic year + 6 years	Yes	Highly restricted	See online for further information on academic and non-academic misconduct

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
B.08.13	Fitness to Practise Committee – minutes and papers	Student Conduct & Appeals	Institutional business requirements	Permanent retention	Yes	Highly restricted	Further details on Fitness to Practise are available online .
B.08.14	Raising a concern – reports and investigations	School of Medical Education Faculty of Life Sciences & Medicine	UK GDPR	Last action on case + 6 years	No	Highly restricted	Further information on reporting concerns to the School of Medical Education is available online
B.09	Widening Participation & Student Success						
B.09.01	Administrative records of key projects and initiatives.	Social Mobility & Student Success	Institutional business requirements	Permanent retention	Yes	Internal	Full list is available online .
B.09.02	Personal data of participants in widening participation projects and initiatives	Social Mobility & Student Success	UK GDPR	Last interaction + 6 years	No	Restricted	
B.09.03	Personal data of participants of social research	Social Mobility & Student Success	UK GDPR	Last interaction + 6 years	No	Restricted	Further information on What Works

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
B.09.04	Widening participation yearbooks and annual reports	Social Mobility & Student Success	Institutional business requirements	Permanent retention	Yes	External	Yearbook is available online . Annual reports to be transferred to Archives Services
B.09.05	Partnerships with charities and organisations	Social Mobility & Student Success	Limitations Act 1980	Life of partnership + 6 years	No	Restricted	Full list is available online

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Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
C.01.01	Academic Regulations	Students & Education	Institutional business requirements	Permanent retention	Yes	External	Published on Policy Hub
C.01.02	Education Strategy	Students & Education	Institutional business requirements	Permanent retention	Yes	External	Published online
C.02	Programme administration						
C.02.01	Programme and module timetables	Faculties and Departments	Institutional business requirements	Retain for duration of programme	No	Internal	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
C.02.02	Class lists, tutorial lists and student attendance records	Faculties and Departments	UK GDPR	4 years	No	Restricted	
C.02.03	Programme and module handbooks	Faculties and Departments	Institutional business requirements	Retain for duration of programme	Yes	Internal	One copy in paper or digital format to be transferred to Archives
C.02.04	Programme and module evaluation forms	Faculties and Departments	Institutional business requirements	7 years	No	Restricted	
C.03	Teaching materials						
C.03.01	Teaching and learning materials held on KEATS or SharePoint	Faculties and Departments	Institutional business requirements	10 years	No	Restricted	Due to technological advances, King's cannot guarantee that all material will remain accessible in its original format
C.03.02	Teaching materials held in hard copy and not available in electronic format	Faculties and Departments	Institutional business requirements	10 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
C.03.03	Lecture capture and recordings, for example Echo 360	Faculties and Departments	UK GDPR	4 years	No	Restricted	Procedures for lecture capture are available on Policy Hub
C.03.04	Online seminars via MS Teams	Faculties and Departments	UK GDPR	Completion of programme + 1 year	No	Restricted	
C.04	Programme review						
C.04.01	Subject review self-assessment records including self evaluation document, cover sheet and student handbook	Faculties and Departments Quality, Standards & Enhancement	Institutional business requirements	7 years	No	External	Further information is available from Quality, Standards & Enhancement
C.04.02	Subject review final reports	Quality, Standards & Enhancement	Institutional business requirements	7 years	Yes	Restricted	
C.04.03	Staff programme review reports	Faculties and Departments	Institutional business requirements	7 years	No	Restricted	
C.04.04	Student feedback forms	Faculties and Departments	Institutional business requirements	7 years	No	Highly restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
C.04.05	External accreditation of programmes by professional and regulatory bodies	Faculties and Departments Students & Education	Institutional business requirements	Life of accreditation + 7 years	No	Restricted	
C.04.06	Formal internal and external reviews of teaching quality and standards	Faculties and Departments Students & Education	Institutional business requirements	7 years	No	Restricted	
C.05	Curriculum development						
C.05.01	Curriculum design records, including reports	Faculties and Departments	Institutional business requirements	10 years	Yes	Restricted	
C.05.02	Programme and module approval and modification records	Faculties and Departments	Institutional business requirements	10 years	No	Restricted	Guidance is available from Quality, Standards & Enhancement
C.05.03	Programme specifications	Quality, Standards & Enhancement	Institutional business requirements	10 years	Yes	External	Complete list is available from Quality, Standards & Enhancement

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
C.05.04	Module specifications	Quality, Standards & Enhancement	Institutional business requirements	10 years	Yes	Internal	
C.05.05	AKC programme specifications and handbook	Dean's Office	Institutional business requirements	10 years	Yes	Internal	Further information available from the Dean's Office
C.06	Assessment						
C.06.01	Communication of assessment methods and standards to students, for example student handbooks	Faculties and Departments	Institutional business requirements	Permanent retention	Yes	External	Assessment methods and standards are also available in the Academic Regulations
C.06.02	Formative assessments, including written work, oral assessments and informal tests. Includes assessment brief and record of assessment.	Faculties and Departments	Office for Students Quality and Standards: Condition B4 Supplementary guidance: Retention of assessed work	Completion of programme + 5 years	No	Restricted	Formative assessments do not contribute to final award or progression but are part of the learning experience

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
C.06.03	Summative assessments, including essays, assignments and dissertations. Includes assessment brief and record of assessment.	Faculties and Departments	Office for Students Quality and Standards: Condition B4 Supplementary guidance: Retention of assessed work	Completion of programme + 5 years	No	Restricted	Summative assessments may be final (the results of which contribute to a final award) or progressive (the results of which enable progression from one year of study, or part of a programme, to the successive stage)
C.06.04	PhD theses	Examinations Office Libraries & Collections	UK GDPR	Permanent retention	No	Internal	Historic bound copies are retained by Libraries & Collections and e-thesis are made available via King's Research Portal
C.06.05	Examination scripts	Faculties and Departments	Office for Students Quality and Standards: Condition B4 Supplementary guidance: Retention of assessed work	Completion of programme + 5 years	No	Restricted	Contact Records Management for storage assistance

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
C.06.06	Examination question papers	Faculties and Departments	Institutional business requirements	Permanent retention	Yes	Internal	
C.06.07	Extension request for assessed work	Faculties and Departments	UK GDPR	Completion of programme + 1 year	No	Restricted	
C.06.08	Mitigating circumstances forms	Faculties and Departments	UK GDPR	Last action on case + 6 years	No	Highly restricted	Guidance is available from Academic Services
C.06.09	Feedback on academic progress, academic guidance or support	Faculties and Departments	UK GDPR	Completion of study + 6 years	No	Highly restricted	
C.07	Examination administration						
C.07.01	Application for Personalised Assessment Arrangements, including supporting evidence	Examinations Office	UK GDPR Equality Act 2010	Completion of programme + 6 years	No	Highly restricted	
C.07.02	Candidate number	Examinations Office	UK GDPR	Permanent retention	Yes	Restricted	Part of corporate student record

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
C.07.03	Examination attendance sheet	Examination Office	Office for Students Quality and Standards: Condition B4 Supplementary guidance: Retention of assessed work	Completion of programme + 5 years	No	Restricted	
C.07.04	Examination mark sheet	Examinations Office	Office for Students Quality and Standards: Condition B4 Supplementary guidance: Retention of assessed work	Completion of programme + 5 years	No	Restricted	
C.07.05	Application to sit examinations at an alternative venue	Examinations Office	UK GDPR	Completion of programme + 1 year	No	Restricted	Includes distance learning, study abroad and international students
C.07.06	Selection and appointment of external examiners	Quality, Standards & Enhancement	UK GDPR	Termination of appointment + 1 year	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
C.07.07	Selection and appointment of examination invigilators	Examinations Office	UK GDPR	Current academic year + 1 year	No	Restricted	
C.07.08	Right to work documentation for external examiners and examination invigilators	Academic Services Human Resources	Immigration, Asylum and Nationality Act 2006	Termination of appointment + 2 years	No	Restricted	Further guidance available from UK Visa and Immigration
C.07.09	Examiners reports	Quality, Standards & Enhancement	UK GDPR	10 years	No	Restricted	
C.07.10	Timetabling of examinations	Examinations Office	Institutional business requirements	Current academic year + 3 years	No	Restricted	
C.08	Timetabling services						
C.08.01	Timetabling information	Timetabling Services	Institutional business requirements	Current academic year + 7 years	No	Internal	
C.08.02	Room bookings	Timetabling Services	Institutional business requirements	Current academic year + 3 years	No	Restricted	

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Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
D.01.01	Institutional research policies and procedures	Research Management & Innovation	Institutional business requirements	Permanent retention	Yes	External	Published on Policy Hub
D.01.02	Institutional research strategies	Research Management & Innovation	Institutional business requirements	Permanent retention	Yes	External	Published on Policy Hub and external web pages
D.02	Quality management						

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
D.02.01	Quality assurance processes and procedures	Research Management & Innovation	Institutional business requirements	Retain until superseded + 5 years	No	Restricted	
D.02.02	Conduct and results of internal reviews of research quality	Research Management & Innovation	Institutional business requirements	End of academic year + 5 years	No	Restricted	
D.02.03	Conduct and results of external reviews of research quality	Research Management & Innovation	Institutional business requirements	End of academic year + 5 years	No	Restricted	
D.03	Performance management						
D.03.01	Lists and summaries of grants awarded	Research Management & Innovation	Institutional business requirements	Permanent retention	No	Restricted	
D.03.02	Annual reports on activities of research students	Centre for Doctoral Studies	Institutional business requirements	2 years	Yes	Restricted	
D.03.03	Statistics of successful funding applications	Research Management & Innovation	Institutional business requirements	Permanent retention	No	External	
D.04	Business management						

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
D.04.01	Liaison with research sponsors, including monitoring of their policies and requirements	Research Management & Innovation	Institutional business requirements	5 years	No	Restricted	
D.04.02	Formation and management of research partnerships and collaborations	Research Management & Innovation	Limitation Act 1980	Life of partnership or collaboration + 6 years	No	Restricted	
D.04.03	Research project proposals – including correspondence with academics and licensing agencies	Research Management & Innovation	Institutional business requirements	Proposal outcome + 1 year	No	Restricted	Successful proposals subsequently handled by Post Award Team
D.05	Research Excellence Framework (REF)						
D.05.01	Final submissions / unit of assessment submissions	Research Management & Innovation Faculties	Institutional business requirements	RMID – permanent retention Faculty – 10 years	Yes	Restricted until final submission	
D.05.02	Internal REF papers, including processes and preparations for submission	Research Management & Innovation	Institutional business requirements	Final submission + 5 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
D.05.03	External REF papers, including consultations and correspondence with UKRI	Research Management & Innovation	Institutional business requirements	Final submission + 5 years	No	Restricted	
D.05.04	REF Steering Group – agendas, minutes and papers	Research Management & Innovation	Institutional business requirements	Final submission + 5 years	No	Restricted	
D.06	Pre-award administration						
D.06.01	Monitoring and promotion of research funding opportunities	Pre-Award Team	Institutional business requirements	7 years	No	Restricted	
D.06.02	Register of academic staff and research interests	Pre-Award Team	UK GDPR	Retain while current	No	Restricted	
D.06.03	Successful grant applications, including CVs, references, costings, etc.	Pre-Award Team	UK GDPR	Transferred to Post-Award Team	No	Restricted	
D.06.04	Unsuccessful grant applications	Pre-Award Team	UK GDPR	Notification + 1 year	No	Restricted	
D.07	Post-award administration						

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
D.07.01	Project planning and monitoring files, including RGA forms, notification of award, contracts, invoices and correspondence	Post-Award Unit	UK GDPR	Completion of project + 6 years	No	Restricted	
D.07.02	EU funded project files	Post-Award Unit	European Regional Development Fund (ERDF)	Completion of project + 10 years	No	Restricted	See Interreg Europe Programme Manual
D.08	Research ethics						
D.08.01	College Research Ethics Committee – agendas, minutes and papers, including terms of reference	Research Ethics Office	Institutional business requirements	Permanent retention	Yes	Restricted	Transfer one set of papers from each meeting to Corporate Records Management
D.08.02	Membership of College Research Ethics Committee, Research Ethics Subcommittees and Research Ethics Panels – successful applications	Research Ethics Office	UK GDPR	Duration of membership + 6 months	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
D.08.03	Memberships of College Research Ethics Committee, Research Ethics Subcommittees and Research Ethics Panels – unsuccessful applications	Research Ethics Office	UK GDPR	Notification of outcome + 6 months	No	Restricted	
D.08.04	Applications for ethical approval submitted to Research Ethics Subcommittees and Research Ethics Panels	Research Ethics Office	UK GDPR	End of academic year + 15 years	No	Highly restricted	Further information is available from the Research Ethics Office
D.08.05	Applications to NHS Research Ethics Committees	Principal Investigator	NHS HRA Research Ethics Committee Standard Operating Procedures	Conclusion or termination of research study + 3 years	No	Highly restricted	
D.09	Research data – Unfunded projects						
D.09.01	Staff and research students (PhD/MPhil) – non-clinical or overseas research	Principal Investigator	UKRI Concordat on Open Research Data	Publication of results + 10 years (unless a longer period is	No	Highly restricted	See additional retention guidance

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
	studies that do not require Health Research Authority approval			specified by research funder)			from the Research Governance Office
D.09.02	Taught students (postgraduate and undergraduate) – non-clinical or overseas research studies that do not require Health Research Authority approval	Principal Investigator	Institutional business requirements	No intention to publish – date of award + 1 month Pre-publication – date of award + 1 year Post publication – publication + 5 years (unless a longer period is specified by research funder or journal)	No	Highly restricted	See additional retention guidance from the Research Governance Office Retention for a longer period must be discussed and agreed with the Research Governance Office
D.10	Research data – Funded projects						
D.10.01	Arts & Humanities Research Council (AHRC)	Principal Investigator	UKRI Concordat on open research data Guidance on best practice in the management of research data	Completion of research study + 10 years	No	Highly restricted	See additional retention guidance from the Research Governance Office and advice on managing research data from Libraries & Collections

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
D.10.02	Biotechnology & Biological Sciences Research Council (BBSRC)	Principal Investigator	BBSRC Safeguarding Good Scientific Practice	Completion of research study + 10 years	No	Highly restricted	See additional retention guidance from the Research Governance Office and advice on managing research data from Libraries & Collections
D.10.03	Economic & Social Research Council (ESRC)	Principal Investigator	UKRI Concordat on open research data Guidance on best practice in the management of research data	Completion of research study + 10 years	No	Highly restricted	See additional retention guidance from the Research Governance Office and advice on managing research data from Libraries & Collections
D.10.04	Engineering & Physical Sciences Research Council (EPSRC)	Principal Investigator	EPSRC Policy Framework on Research Data – Expectations	Completion of research study + 10 years	No	Highly restricted	See additional retention guidance from the Research Governance Office and advice on managing research data from Libraries & Collections
D.10.05	Innovate UK	Principal Investigator	UKRI	Completion of research study + 10 years	No	Highly restricted	See additional retention guidance

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
			Concordat on open research data Guidance on best practice in the management of research data				from the Research Governance Office and advice on managing research data from Libraries & Collections
D.10.06	Natural Environment Research Council (NERC)	Principal Investigator	UKRI Concordat on open research data Guidance on best practice in the management of research data	Completion of research study + 10 years	No	Highly restricted	See additional retention guidance from the Research Governance Office and advice on managing research data from Libraries & Collections
D.10.07	Research England	Principal Investigator	UKRI Concordat on open research data Guidance on best practice in the management of research data	Completion of research study + 10 years	No	Highly restricted	See additional retention guidance from the Research Governance Office and advice on managing research data from Libraries & Collections
D.10.08	Science & Technology Facilities Council (STFC)	Principal Investigator	STFC Concordat on open research data	Completion of research study + 10 years	No	Highly restricted	See additional retention guidance from the Research Governance Office

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
			Guidance on best practice in the management of research data				and advice on managing research data from Libraries & Collections
D.10.09	Other funders and sponsors	Principal Investigator	UK GDPR	Retain in line with requirements of research sponsor	No	Highly restricted	See additional retention guidance from the Research Governance Office or contact Corporate Records Management for study specific advice
D.11	Clinical trials and health research						
D.11.01	Advanced Therapy Investigational Medicinal Product (ATIMP) – Research trial master files	Principal Investigator	European Medicines Agency Guideline on quality, non-clinical and clinical requirements for investigational advanced therapy medicinal products in clinical trials Guideline for good clinical practice	Completion of trial + 30 years (minimum), plus 2 years after last marketing authorisation (includes paediatric studies) Source data and Investigator Site File (ISF) – Completion of trial + 5 years (destroy only with sponsor permission)	No	Highly restricted	See additional retention guidance from the Research Governance Office and advice on managing health data from Libraries & Collections

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
D.11.02	NHS clinical trials (CTIMP) - Master files 'Clinical trials' includes any studies that involve the investigation of an investigational medicinal product (CTIMP), including combined IMP/device studies. See Clinical Trials Regulation 536/2014 for full definitions.	Principal Investigator	Clinical Trials Regulations EU 536/2014 NHS Trust requirements Sponsor requirements	Refer to requirements of NHS Trust or sponsor. Where KCL is the sponsor: Completion of trial + 25 years (minimum), plus two years after last marketing authorisation (includes paediatric studies) Source data and Investigator Site File (ISF) – Completion of trial + 5 years (destroy only with sponsor permission)	No	Highly restricted	See additional retention guidance from the Research Governance Office and advice on managing health data from Libraries & Collections
D.11.03	Clinical or social care studies not falling under the above categories	Principal Investigator	Medicines for Human Use (Clinical Trials) Amendment Regulations 2006 NHS Trust requirements Sponsor requirements	Refer to requirements of NHS Trust or sponsor. Where KCL is the sponsor: Completion of trial + 5 years, unless a longer period has been stipulated by the funder and approved	No	Highly restricted	See additional retention guidance from the Research Governance Office and advice on managing health data from Libraries & Collections

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
				by regulatory bodies. Research involving children – completion of trial + 5 years or 3 years after the youngest subject reaches 18 years of age (whichever is longest).			
D.11.04	Commercial clinical trials or health research	Principal Investigator	Sponsor requirements	Refer to requirements of research sponsor	No	Highly restricted	See additional retention guidance from the Research Governance Office and advice on managing health data from Libraries & Collections
D.11.05	Medical Research Council (MRC)	Principal Investigator	MRC Good research practice: principles and guidelines	Basic research – 10 years (minimum) Population health and clinical studies – 20 years Longitudinal studies – 20 years +	No Studies which directly inform national policy making should be permanently preserved in an appropriate archive	Highly restricted	See additional retention guidance from the Research Governance Office and advice on managing health data from Libraries & Collections

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
D.11.06	Cancer Research UK (CRUK)	Principal Investigator	CRUK Research integrity: guidelines for research conduct	Research data – 10 years + Clinical or public health studies – 20 years +	No	Highly restricted	See additional retention guidance from the Research Governance Office and advice on managing health data from Libraries & Collections
D.11.07	National Institute of Health Research (NIHR)	Principal Investigator	Records Management Code of Practice	Advanced medical therapy research master files – 20 years Clinical trials master files – 25 years Research datasets – 20 years (maximum)	No	Highly restricted	See additional retention guidance from the Research Governance Office and advice on managing health data from Libraries & Collections
D.11.08	Wellcome Trust	Principal Investigator	Wellcome Trust Good Research Practice Guidelines	Research data – 10 years + Clinical or public health studies – 20 years	No	Highly restricted	See additional retention guidance from the Research Governance Office and advice on managing health data from Libraries & Collections

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
D.12	Research involving animals						
D.12.01	<p>Research involving use of animals, including</p> <ul style="list-style-type: none"> - Project licences - Personal licences - ASPA inspectors reports - Records of regulated procedures - Numbers and species of animals used in procedures - Origins of animals and dates acquired - Records of all animals on which procedures have been carried out - Numbers and species of animals that have died - Records of all animal disposals (death, discharge, rehoming or export) 	Licence holder	<p>Animals (Scientific Procedures) Act 1986</p> <p>Directive 2010/63/EU on the protection of animals used for scientific procedures</p> <p>Guidance on the Operation of the Animals (Scientific Procedures) Act 1986 (Home Office 2014)</p>	Completion of research + 5 years	No	Highly restricted	See additional retention guidance from the Research Governance Office

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
	- Records of the source, use and disposal of protected animals - Lab books						
D.12.02	Individual history files for dogs, cats and non-human primates	Licence holder	Guidance on the Operation of the Animals (Scientific Procedures) Act 1986 (Home Office, 2014)	Date of death, transfer to another institution, release or rehoming + 5 years	No	Highly restricted	See additional retention guidance from the Research Governance Office
D.12.03	Advice given by the Animal Welfare and Ethical Review Body (AWERB) and any actions taken as a result	Licence holder	Guidance on the Operation of the Animals (Scientific Procedures) Act 1986 (Home Office 2014)	3 years	No	Highly restricted	See additional retention guidance from the Research Governance Office
D.13	Research misconduct						
D.13.01	Case files on investigation and resolution of allegations of research misconduct	Research Governance, Ethics & Integrity	UK GDPR Limitation Act 1980	Last action on case + 6 years Records must also be retained in line with the retention period for the research project where	No	Highly restricted	Further information is available from Research Integrity

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
				this exceeds six years since last action on case.			
D.14	Security sensitive research						
D.14.01	Security Sensitive Research Activities – Policy and procedures	Research Governance, Ethics & Integrity	Counter-Terrorism & Security Act 2015	Permanent retention	Yes	External	Available on Policy Hub
D.14.02	Security Sensitive Research Panel – Agendas, minutes and papers	Research Governance, Ethics & Integrity	Counter-Terrorism & Security Act 2015	End of academic year + 15 years	No	Highly restricted	Further information is available from Research Governance
D.14.03	Security Sensitive Research Register	Research Governance, Ethics & Integrity	Counter-Terrorism & Security Act 2015	Permanent retention	No	Highly restricted	Further information is available from Research Governance
D.14.04	Security Sensitive Research Registration Forms	Research Governance, Ethics & Integrity	Counter-Terrorism & Security Act 2015	End of academic year + 15 years	No	Highly restricted	Further information is available from Research Governance
D.15	Research support						
D.15.01	Research data held in King’s Open Research Data System (KORDS)	Libraries & Collections	Research funder compliance and institutional requirements	Permanent retention	No	External	Further information on KORDS is available from Research Support

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
D.15.02	Research publications held in King's Research Portal (PURE)	Libraries & Collections	Research funder compliance and institutional requirements	Permanent retention	No	External	Further information is available on King's Research Portal

Records Retention Schedule

Section E: Finance

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Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
E.01.01	Financial regulations and related procedures	Finance & Planning	Institutional business requirements	Permanent retention	Yes	External	Published on Policy Hub
E.01.02	Financial strategies and policies	Finance & Planning	Institutional business requirements	Permanent retention	Yes	External	Published on Policy Hub
E.02	Financial planning						

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
E.02.01	Financial forecasts	Finance & Planning	Institutional business requirements	Current financial year + 2 years	No	Restricted	
E.02.02	Annual operating budgets	Finance & Planning	Institutional business requirements	Current financial year + 2 years	No	Restricted	
E.02.03	Monitoring of income and expenditure against budgets and actions taken to deal with variances	Finance & Planning	Institutional business requirements	Current financial year + 2 years	No	Restricted	
E.03	Performance management						
E.03.01	Reports of performance in relation to the financial strategy	Finance & Planning	Institutional business requirements	Current financial year + 10 years	No	Restricted	
E.03.02	External audits and reviews of financial functions and processes	Finance & Planning	Institutional business requirements	Current financial year + 10 years	No	Restricted	
E.03.03	Internal audits of financial functions and processes	Business Assurance	Institutional business requirements	Current financial year + 10 years	No	Restricted	
E.04	Pension schemes						

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
E.04.01	Records of individual pension scheme members, including opt-in notice or joining notice	Payroll & Pensions	The Pensions Regulator	Enrolment in scheme + 75 years	No	Highly restricted	Includes name, NI number, date of birth, gross qualifying earnings, employer's contributions and enrolment date
E.04.02	Pension scheme opt-out records	Payroll & Pensions	The Pensions Regulator	Termination of employment + 6 years	No	Highly restricted	
E.04.03	Pension scheme details	Payroll & Pensions	The Pensions Regulator	Length of scheme + 6 years	No	Internal	
E.05	Payroll administration						
E.05.01	Processing of non-statutory deductions from salaries – deduction authorities, tax code notices	Payroll & Pensions	Limitation Act 1980	Current tax year + 6 years	No	Highly restricted	
E.05.02	Calculation and payment of salaries	Payroll & Pensions	Taxes Management Act 1970 The Income Tax (Pay As You Earn) Regulations (SI 2003/2682)	Current tax year + 6 years	No	Highly restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
E.05.03	Employer's PAYE records which are not required to be sent to the Inland Revenue	Payroll & Pensions	The Income Tax (Pay As You Earn) Regulations (SI 2003/2682)	Current tax year + 6 years	No	Highly restricted	
E.05.04	Payments under the Statutory Sick Pay scheme	Payroll & Pensions	The Statutory Sick Pay (Maintenance of Records) (Revocation) Regulations 2014	Current tax year + 6 years	No	Highly restricted	
E.05.05	Payments under the Statutory Maternity Pay scheme	Payroll & Pensions	The Statutory Maternity Pay (General) Regulations (SI 1986/1960)	Current tax year + 6 years	No	Highly restricted	
E.05.06	Record of P45's issued	Payroll & Pensions	Limitation Act 1980	Termination of employment + 7 years	No	Highly restricted	
E.05.07	Redundancy calculations and refunds	Payroll & Pensions	UK GDPR	Permanent retention	Yes	Highly restricted	To be archived on termination of employment as part of core staff record
E.06	Financial accounting						

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
E.06.01	Sales invoices and processing of incoming payments	Finance & Planning	Value Added Tax Act 1994 Limitation Act 1980	Current financial year + 6 years Obfuscate any card number using a thick black marker pen and hold document to light to ensure details have been obscured	No	Restricted	Held on King's Finance system (Business World)
E.06.02	Receipt and payment of purchase invoices	Finance & Planning	Value Added Tax Act 1994 Limitation Act 1980	Current financial year + 6 years	No	Restricted	Held on King's Finance system (Business World)
E.06.03	Purchase orders relating to manufacture and testing of high-risk medical devices	Biomedical Engineering & Imaging Sciences	Medical Devices Regulation ((EU) 2017/745) ISO 13485:2016 (Quality Management Systems for Medical Devices)	Completion of manufacture or testing process + 15 years	No	Restricted	Includes purchase orders for device components and sterilisation services
E.06.04	Till rolls	Departments	Value Added Tax Act 1994 Limitation Act 1980	Current financial year + 6 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
E.06.05	Staff and student expense claims	Finance & Planning	Taxes Management Act 1970 Limitation Act 1980	Current financial year + 6 years	No	Restricted	
E.06.06	Payment of honoraria and expenses to third parties	Finance & Planning	Taxes Management Act 1970 Limitation Act 1980	Current financial year + 6 years	No	Restricted	
E.06.07	Management of petty cash	Finance & Planning	Value Added Tax Act 1994 Limitation Act 1980	Current financial year + 6 years	No	Restricted	
E.06.08	Preparation of annual accounts	Finance & Planning	Value Added Tax Act 1994 Limitation Act 1980	Current financial year + 6 years	No	Restricted	
E.06.09	Annual accounts – signed copies	Finance & Planning	Institutional business requirements	Permanent retention	Yes	Restricted	
E.06.10	Processing of internal transfers/ journal transfers between departments	Finance & Planning	Institutional business requirements	Current financial year + 2 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
E.06.11	Debt instrument legal documents	Finance & Planning	Value Added Tax Act 1994 Limitation Act 1980	Life of instrument + 6 years	No	Restricted	
E.06.12	All other payment records with card payment details	Finance & Planning	Value Added Tax Act 1994 Limitation Act 1980	Current financial year + 6 years Obfuscate any card number using a thick black marker pen and hold document to light to ensure details have been obscured	No	Restricted	
E.07	Funding management						
E.07.01	Administration of annual funding allocations from statutory funding bodies	Finance & Planning	Institutional business requirements	Current financial year + 10 years	No	Restricted	
E.07.02	Administration of research grants from research councils, funding bodies or corporate sponsors	Finance & Planning	Limitation Act 1980	Current financial year + 6 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
E.07.03	Administration of funding from European Structural Funds	Finance & Planning	Council Regulation (EC) No. 1303/2013 Article 140.	Final payment + 3 years from 31 December following the submission of the accounts in which the expenditure of the operation is included	No	Restricted	
E.08	Investment management						
E.08.01	Management of investment portfolio	Finance & Planning	Limitation Act 1980	Divestment + 6 years	No	Restricted	
E.08.02	Acquisition and disposal of investments	Finance & Planning	Taxes Management Act 1970	Current financial year (of transaction) + 6 years	No	Restricted	
E.09	Asset management						
E.09.01	Valuation of capital assets	Finance & Planning	Taxes Management Act 1970	Current financial year + 6 years	No	Restricted	
E.09.02	Records of capital assets over £25,000	Finance & Planning	Taxes Management Act 1970	Disposal of asset + 6 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
E.09.03	Records of capital assets worth less than £25,000	Finance & Planning	Institutional business requirements	Disposal of asset + 1 year	No	Restricted	
E.10	Tax management						
E.10.01	Assessment of tax liabilities	Treasury & Tax	Value Added Tax Act 1994	Current tax year + 6 years	No	Restricted	
E.10.02	VAT return	Treasury & Tax	Value Added Tax Act 1994	Current tax year + 6 years	No	Restricted	
E.10.03	Corporation tax return and assessments	Treasury & Tax	Value Added Tax Act 1994	Current tax year + 6 years	No	Restricted	
E.10.04	Other tax returns	Treasury & Tax	Value Added Tax Act 1994	Current tax year + 6 years	No	Restricted	
E.10.05	P60 records	Treasury & Tax	Value Added Tax Act 1994	Current tax year + 6 years	No	Restricted	
E.11	Cash management						
E.11.01	Opening, closure and administration of bank accounts	Income Services	Limitation Act 1980	Closure of account + 6 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
E.11.02	Standing orders and direct debits	Income Services	Limitation Act 1980	Life of instruction + 6 years	No	Restricted	
E.11.03	Records of routine deposits, withdrawals and transfers (includes paying-in slips, receipts, etc.)	Income Services	Limitation Act 1980	End of financial year + 6 years	No	Restricted	
E.11.04	BACS reports	Income Services	UK GDPR	Current financial year + 6 years	No	Highly restricted	
E.12	Insurance						
E.12.01	Files for special purposes, for example flooding	Finance & Planning	Limitation Act 1980	Expiry of policy + 6 years	No	Restricted	
E.12.02	Insurance policies	Finance & Planning	Limitation Act 1980	Expiry of policy + 6 years	No	Restricted	
E.12.03	Insurance claims	Finance & Planning	Limitation Act 1980	Settlement of claim + 6 years	No	Restricted	
E.12.04	Insurance reports	Finance & Planning	Limitation Act 1980	Settlement of claim + 6 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
E.12.05	Certificate of employers' liability insurance	Investment managers	The Employers' Liability (Compulsory Insurance) (Amendment) Regulations 2008	Expiry + 40 years	No	Restricted	
E.13	Student finance						
E.13.01	Student Hardship Fund application and correspondence	Student Funding Office	Value Added Tax Act 1994 UK GDPR	Completion of study + 6 years	No	Highly restricted	
E.13.02	Bursaries and scholarship applications	Student Funding Office	Value Added Tax Act 1994 UK GDPR	Completion of study + 6 years	No	Restricted	
E.13.03	Bursaries and scholarships maintenance grant requests	Student Funding Office	Value Added Tax Act 1994 UK GDPR	Completion of study + 6 years	No	Restricted	
E.13.04	Grant cheques	Finance & Planning	Value Added Tax Act 1994	Completion of study + 6 years	No	Restricted	
E.13.05	Council tax exemption certificate	Student Funding Office	Value Added Tax Act 1994	Completion of study + 6 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
E.13.06	Disability allowance	Student Funding Office	Value Added Tax Act 1994 UK GDPR	Completion of study + 6 years	No	Restricted	
E.13.07	Student bank details (refunds)	Finance & Planning	UK GDPR	Last update + 1 year	No	Restricted	
E.13.08	Student sponsorship funding records	Finance & Planning	UK GDPR	Completion of study +6 years	No	Restricted	
E.14	Tuition fees						
E.14.01	University policy on tuition fees	Students & Education	Institutional business requirements	Superseded + 10 years	Yes	External	
E.14.02	Procedures for tuition fee administration	Students & Education	Institutional business requirements	Superseded + 10 years	Yes	Internal	
E.14.03	Collection, receipt and processing of tuition fees	Finance & Planning	Limitation Act 1980 UK GDPR	Completion of study +6 years	No	Restricted	
E.14.04	Successful applications for remission of tuition fees	Finance & Planning	Limitation Act 1980 UK GDPR	Outcome of application + 6 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
E.14.05	Unsuccessful applications for remission of tuition fees	Finance & Planning	UK GDPR	Outcome of application + 1 year	No	Restricted	
E.14.06	Suspension for non-payment of tuition fees where suspension has been resolved or removed	Students & Education	Limitation Act 1980 UK GDPR	Completion of study +6 years	No	Restricted	
E.14.07	Suspension for non-payment of tuition fees where payment remains outstanding	Students & Education	UK GDPR	Permanent retention	No	Restricted	
E.14.08	Appeals against suspension for non-payment of tuition fees	Students & Education	Limitation Act 1980 UK GDPR	Last action on case + 6 years	No	Restricted	
E.14.09	Fee debtors list	Finance & Planning	Value Added Tax Act 1994 UK GDPR	Completion of study +6 years	No	Highly restricted	

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Section F: Governance

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Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
F.01.01	Strategic plan and mission statement	Vice-Chancellor & President's Office Office of the Chairman & College Secretariat	Institutional business requirements	Permanent retention	Yes	External	Published on external web pages
F.01.02	Charter, Statutes and Ordinances	Office of the Chairman & College Secretariat	Institutional business requirements	Permanent retention	Yes	External	Published on external web pages

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
F.01.03	University policies and procedures	Office of the Chairman & College Secretariat	Institutional business requirements	Permanent retention	Yes	External	Published on Policy Hub
F.02	Vice-Chancellor & President's Office						
F.02.01	Management of relationship with regulatory bodies, including Office for Students (OfS)	Vice-Chancellor & President's Office Public Affairs & External Insight	Institutional business requirements	Retain while current + 5 years then transfer to Archives	Yes	Restricted	See also Section J: External Relations
F.02.02	Management of relationship with funding bodies, including UKRI	Vice-Chancellor & President's Office Public Affairs & External Insight	Institutional business requirements	Retain while current + 5 years then transfer to Archives	Yes	Restricted	See also Section J: External Relations
F.02.03	Management of relationship with Universities UK (UUK) and related bodies	Vice-Chancellor & President's Office Public Affairs & External Insight	Institutional business requirements	Retain while current + 5 years then transfer to Archives	Yes	Restricted	See also Section J: External Relations

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
F.02.04	Management of relationship with University of London	Vice-Chancellor & President's Office Public Affairs & External Insight	Institutional business requirements	Retain while current + 5 years then transfer to Archives	Yes	Restricted	
F.02.05	Memoranda of understanding between King's and overseas institutions and partners	Vice-Chancellor & President's Office Vice President (International, Engagement & Service)	Institutional business requirements	Retain while current + 5 years then transfer to Archives	Yes	Highly restricted	
F.02.06	Vice-Chancellor & President's correspondence with Faculties and Departments	Vice-Chancellor & President's Office	Institutional business requirements	Retain while current + 5 years then transfer to Archives	Yes	Restricted	
F.02.07	Visitor of the College files	Vice-Chancellor & President's Office	Institutional business requirements	Retain while current + 5 years then transfer to Archives	Yes	Restricted	
F.02.08	Vice-Chancellor & President's speeches and presentations	Vice-Chancellor & President's Office	Institutional business requirements	Retain while current + 2 years then transfer to Archives	Yes	Internal	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
F.02.09	Major projects, developments and acquisitions	Vice-Chancellor & President's Office Senior Vice President (Operations)	Institutional business requirements	Retain while current + 5 years then transfer to Archives	Yes	Highly restricted	
F.03	College Council and subcommittees						
F.03.01	College Council – agendas, minutes and papers, including terms of reference	Office of the Chairman & College Secretariat	Institutional business requirements	Permanent retention	Yes	External	Published on external web pages Transfer one set of papers from each meeting to Corporate Records Management
F.03.02	College Council – recruitment and appointment of members	Office of the Chairman & College Secretariat	Limitation Act 1980	Termination of appointment + 6 years	No	Restricted	
F.03.03	College Council – register of members interests	Office of the Chairman & College Secretariat	Limitation Act 1980	Termination of appointment + 6 years	No	External	Published on external web pages
F.03.04	Audit, Risk & Compliance Committee – agendas, minutes and papers, including terms of reference	Office of the Chairman & College Secretariat	Institutional business requirements	Permanent retention	Yes	Restricted	Transfer one set of papers from each meeting to Corporate Records Management

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
F.03.05	Governance & Nominations Committee – agendas, minutes and papers, including terms of reference	Office of the Chairman & College Secretariat	Institutional business requirements	Permanent retention	Yes	Restricted	Transfer one set of papers from each meeting to Corporate Records Management
F.03.06	Finance Committee – agendas, minutes and papers, including terms of reference	Finance & Planning	Institutional business requirements	Permanent retention	Yes	Restricted	Transfer one set of papers from each meeting to Corporate Records Management
F.03.07	Investment Subcommittee – agendas, minutes and papers, including terms of reference	Finance & Planning	Institutional business requirements	Permanent retention	Yes	Restricted	Transfer one set of papers from each meeting to Corporate Records Management
F.03.08	Estates Strategy Committee – agendas, minutes and papers, including terms of reference	Estates & Facilities	Institutional business requirements	Permanent retention	Yes	Restricted	Transfer one set of papers from each meeting to Corporate Records Management
F.03.09	Chairs’ Committee – agendas, minutes and papers, including terms of reference	Office of the Chairman & College Secretariat	Institutional business requirements	Permanent retention	Yes	Restricted	Transfer one set of papers from each meeting to Corporate Records Management

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
F.03.10	Fellowships & Honorary Degrees Committee – agendas, minutes and papers, including terms of reference	Office of the Chairman & College Secretariat	Institutional business requirements	Permanent retention	Yes	Highly restricted	Transfer one set of papers from each meeting to Corporate Records Management
F.03.11	Remuneration Committee – agendas, minutes and papers, including terms of reference	Office of the Chairman & College Secretariat	Institutional business requirements	Permanent retention	Yes	Highly restricted	Transfer one set of papers from each meeting to Corporate Records Management
F.04	Academic Board and subcommittees						
F.04.01	Academic Board – agendas, minutes and papers, including terms of reference	Office of the Chairman & College Secretariat	Institutional business requirements	Permanent retention	Yes	External	Published on external web pages Transfer one set of papers from each meeting to Corporate Records Management
F.04.02	Academic Board Operations Committee – agendas, minutes and papers, including terms of reference	Office of the Chairman & College Secretariat	Institutional business requirements	Permanent retention	Yes	Restricted	Transfer one set of papers from each meeting to Corporate Records Management

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
F.04.03	College Education Committee – agendas, minutes and papers, including terms of reference	Students & Education	Institutional business requirements	Permanent retention	Yes	Restricted	Transfer one set of papers from each meeting to Corporate Records Management
F.04.04	Programme Development & Approval Subcommittee – agendas, minutes and papers, including terms of reference	Students & Education	Institutional business requirements	Permanent retention	Yes	Restricted	Transfer one set of papers from each meeting to Corporate Records Management
F.04.05	Academic Standards Subcommittee – agendas, minutes and papers, including terms of reference	Students & Education	Institutional business requirements	Permanent retention	Yes	Restricted	Transfer one set of papers from each meeting to Corporate Records Management
F.04.06	Collaborative Provision Subcommittee – agendas, minutes and papers, including terms of reference	Students & Education	Institutional business requirements	Permanent retention	Yes	Restricted	Transfer one set of papers from each meeting to Corporate Records Management

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
F.04.07	College Research Committee – agendas, minutes and papers, including terms of reference	Research Management & Innovation	Institutional business requirements	Permanent retention	Yes	Restricted	Transfer one set of papers from each meeting to Corporate Records Management
F.04.08	Research Ethics Committees – agendas, minutes and papers, including terms of reference	Research Management & Innovation	Institutional business requirements	Permanent retention	Yes	Restricted	Transfer one set of papers from each meeting to Corporate Records Management
F.04.09	Research Student Subcommittee – agendas, minutes and papers, including terms of reference	Research Management & Innovation	Institutional business requirements	Permanent retention	Yes	Restricted	Transfer one set of papers from each meeting to Corporate Records Management
F.04.10	Research Degrees Examination Board – agendas, minutes and papers, including terms of reference	Research Management & Innovation	Institutional business requirements	Permanent retention	Yes	Restricted	Transfer one set of papers from each meeting to Corporate Records Management
F.04.11	College Service Committee – agendas, minutes and papers, including terms of reference	Vice President (International, Engagement & Service)	Institutional business requirements	Permanent retention	Yes	Restricted	Transfer one set of papers from each meeting to Corporate Records Management

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
F.04.12	College International Committee – agendas, minutes and papers, including terms of reference	Vice President (International, Engagement & Service)	Institutional business requirements	Permanent retention	Yes	Restricted	Transfer one set of papers from each meeting to Corporate Records Management
F.04.13	College London Committee – agendas, minutes and papers, including terms of reference	Vice President (International, Engagement & Service)	Institutional business requirements	Permanent retention	Yes	Restricted	Transfer one set of papers from each meeting to Corporate Records Management
F.05	Executive Committees						
F.05.01	University Executive – agendas, minutes and papers, including terms of reference	Vice-Chancellor & President’s Office	Institutional business requirements	Permanent retention	Yes	Restricted	Transfer one set of papers from each meeting to Corporate Records Management
F.05.02	Vice-Chancellor’s Management Meeting – agendas, minutes and papers, including terms of reference	Vice-Chancellor & President’s Office	Institutional business requirements	Permanent retention	Yes	Restricted	Transfer one set of papers from each meeting to Corporate Records Management
F.05.03	Senior Leadership Forum – agendas, minutes, papers and terms of reference	Vice-Chancellor & President’s Office	Institutional business requirements	Permanent retention	Yes	Restricted	Transfer one set of papers from each meeting to Corporate Records Management

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
F.05.04	Health & Safety Management Group – agendas, minutes and papers, including terms of reference	Health & Safety Services	Institutional business requirements	Permanent retention	Yes	Restricted	Transfer one set of papers from each meeting to Corporate Records Management
F.05.05	Real Estate Operations Board – agendas, minutes and papers, including terms of reference	Estates & Facilities	Institutional business requirements	Permanent retention	Yes	Restricted	Transfer one set of papers from each meeting to Corporate Records Management
F.05.06	Information Strategy Security Board – agendas, minutes and papers, including terms of reference	Senior Vice President (Operations)	Institutional business requirements	Permanent retention	Yes	Restricted	Transfer one set of papers from each meeting to Corporate Records Management
F.05.07	Data Governance Board – agendas, minutes and papers, including terms of reference	Senior Vice President (Operations)	Institutional business requirements	Permanent retention	Yes	Restricted	Transfer one set of papers from each meeting to Corporate Records Management
F.05.08	Professional Services Senior Officers Group – agendas, minutes and papers, including terms of reference	Senior Vice President (Operations)	Institutional business requirements	Permanent retention	Yes	Restricted	Transfer one set of papers from each meeting to Corporate Records Management

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
F.06	Faculty Committees						
F.06.01	Faculty Education Committee – agendas, minutes and papers, including terms of reference	Faculties	Institutional business requirements	Permanent retention	Yes	Restricted	Transfer one set of papers from each meeting to Corporate Records Management
F.06.02	Faculty Assessment Board – agendas, minutes and papers, including terms of reference	Faculties	Institutional business requirements	Permanent retention	Yes	Restricted	Transfer one set of papers from each meeting to Corporate Records Management
F.06.03	Faculty Research Committee – agendas, minutes and papers, including terms of reference	Faculties	Institutional business requirements	Permanent retention	Yes	Restricted	Transfer one set of papers from each meeting to Corporate Records Management
F.06.04	Faculty Management Committee/Executive Board – agendas, minutes and papers, including terms of reference	Faculties	Institutional business requirements	Permanent retention	Yes	Restricted	Transfer one set of papers from each meeting to Corporate Records Management
F.07	Information Compliance						

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
F.07.01	Data protection and freedom of information policies	Information Compliance	Institutional business requirements	Permanent retention	Yes	External	Published on Policy Hub
F.07.02	Data protection and freedom of information procedures and guidance	Information Compliance	Institutional business requirements	Superseded + 5 years	No	Internal	Published on intranet
F.07.03	Requests made under the Data Protection Act 2018 / UK GDPR	Information Compliance	UK GDPR	Closure of request + 2 years	No	Restricted	
F.07.04	Requests made under the Freedom of Information Act 2000 and the Environmental Information Regulations 2004	Information Compliance	Freedom of Information Act 2000	Closure of request + 2 years	No	Restricted	
F.07.05	Information requests referred to the Information Commissioner's Office (ICO)	Information Compliance	UK GDPR Freedom of Information Act 2000 Environmental Information Regulations 2004	Last action on case + 6 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
F.07.06	Precedent case files	Information Compliance	Institutional business requirements	Last action on case + 6 years then retain only core record	No	Restricted	Cases which result in changes to university policies or regulations
F.07.07	Compliance audit records	Information Compliance	Institutional business requirements	Completion of audit + 2 years	No	Restricted	
F.07.08	Privacy notices	Information Compliance	Limitation Act 1980	Expiry of notice + 6 years	No	Restricted	
F.07.09	Mandatory Data Protection Impact Assessments	Information Compliance	UK GDPR	Current year + 6 years	No	Restricted	
F.07.10	Transfer Risk Assessments (TRAs)	Information Compliance	UK GDPR	Termination of contract or agreement + 6 years	No	Restricted	
F.07.11	Data breach (not externally reported)	Information Compliance	UK GDPR	Last action on case + 2 years	No	Restricted	
F.07.12	Data breach involving notification to ICO or data subject	Information Compliance	UK GDPR	Last action on case + 6 years	No	Restricted	
F.07.13	Anonymous statistics and reports of statutory access requests made under data protection, freedom of information and environmental	Information Compliance	Freedom of Information Act 2000	Current year + 10 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
	information legislation and regulations						
F.07.14	Anonymous statistics and reports of data breaches	Information Compliance	UK GDPR	Current year + 10 years	No	Restricted	
F.08	Legal Services						
F.08.01	Contracts and agreements between the university and third parties under seal (by deed)	Legal Services	Limitation Act 1980	Termination of contract + 12 years	No	Restricted	
F.08.02	Standard contracts and agreements between the university and third parties	Legal Services	Limitation Act 1980	Termination of contract + 6 years	No	Restricted	
F.08.03	Management of legal claims by or against the university which do not proceed to litigation or settlement by an agreement	Legal Services	Limitation Act 1980	Settlement of claim + 6 years OR Withdrawal of claim + 6 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
F.08.04	Litigation between the university and third parties where legal precedents are set	Legal Services	Institutional business requirements	Permanent retention	No	Restricted	
F.08.05	Litigation between the university and third parties which does not set legal precedents	Legal Services	Limitation Act 1980	Settlement of case + 6 years	No	Restricted	
F.08.06	External legal advice requested by the university concerning governance, legal responsibilities, government bodies, regulation, industrial relations or health and safety	Legal Services	Institutional business requirements	Permanent retention	No	Restricted	
F.09	Governance Services						
F.09.01	Policies, strategies and regulations covering university governance	Governance Services	Institutional business requirements	Retain permanently	Yes	External	Published externally on Policy Hub
F.09.02	Appointment and election of senior officers	Governance Services	Limitation Act 1980	Termination of appointment + 6 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
F.09.03	Investigation and resolution of allegations relating to public interest disclosure (whistleblowing)	Governance Services	Limitation Act 1980	Closure of case + 6 years	No	Restricted	
F.09.04	Official external representation	Governance Services	Institutional business requirements	Termination of representation	No	Restricted	
F.09.05	Recording of committee meetings for minuting purposes Note that these are to aid administrative functions only and are not considered an official record of the meeting	Governance Services Faculties	Institutional business requirements	Minimum – final draft of minutes Maximum – approval of minutes at subsequent meeting Retention rule is at the discretion of the committee secretary and may depend on contentiousness of material and frequency of meetings	No	Restricted	Recordings may be subject to disclosure under the Freedom of Information Act.
F.10	Records Management						
F.10.01	Records management policy and related procedures	Corporate Records Management	Institutional business requirements	Permanent retention	Yes	External	Published on Policy Hub

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
F.10.02	University retention schedules	Corporate Records Management	Institutional business requirements	Permanent retention	Yes	External	
F.10.03	Accession and deposit records	Corporate Records Management	Institutional business requirements	Permanent retention	No	Restricted	
F.10.04	Storage locations for physical and digital records	Corporate Records Management	Institutional business requirements	Superseded + 5 years	No	Restricted	
F.10.05	Record retrieval requests	Corporate Records Management	Institutional business requirements	Closure of request + 5 years	No	Restricted	
F.10.06	General enquiries relating to storage, management, retention or disposal of records	Corporate Records Management	Institutional business requirements	Resolution of enquiry + 1 year	No	Restricted	
F.10.07	Arrangements for physical disposal of university records	Corporate Records Management	Institutional business requirements	Disposal + 3 years	No	Restricted	Includes certificates for secure destruction of confidential waste
F.10.08	Authorisation for disposal of university records	Corporate Records Management	Institutional business requirements	Disposal + 25 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
F.11	Risk Management						
F.11.01	Risk management policies and strategies	Strategy, Planning & Analytics	Institutional business requirements	Permanent retention	Yes	External	Published on Policy Hub
F.11.02	Corporate risk register and risk appetite statement	Strategy, Planning & Analytics	Institutional business requirements	Permanent retention	No	Internal	Published on intranet
F.11.03	Business continuity, disaster response and recovery plans	Strategy, Planning & Analytics	Institutional business requirements	Superseded + 5 years	No	Restricted	
F.12	Internal Audit						
F.12.01	Internal audit policies, strategies and procedures	Business Assurance	Institutional business requirements	Superseded + 5 years	No	Restricted	
F.12.02	Internal audit reports and actions taken to address any issues raised	Business Assurance	Institutional business requirements	Completion of audit + 10 years	No	Restricted	

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Section G: Human Resources

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Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
G.01.01	HR policies, procedures and regulations governing all staff	Human Resources	Institutional business requirements	Permanent retention	Yes	Internal	Published externally on Policy Hub and internally on HR intranet
G.02	Recruitment						
G.02.01	Internal authorisation for recruitment	Human Resources	Institutional business requirements	Permanent retention	No	Internal	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
G.02.02	Vacancy advertisements	Human Resources	Institutional business requirements	Permanent retention	No	External	
G.02.03	Unsuccessful applicants – application form, CV and references	Human Resources	UK GDPR	Vacancy filled + 6 months	No	Restricted	
G.02.04	Successful applicants – application form, CV and references	Human Resources	UK GDPR	Permanent retention	Yes	Restricted	Part of corporate staff record
G.02.05	Shortlisting notes, interview notes and tests	Human Resources	UK GDPR	Completion of recruitment process + 6 months	No	Restricted	
G.02.06	Disclosure and Barring Services (DBS) check	Human Resources	UK GDPR	Termination of employment + 6 years	No	Restricted	
G.03	Contract management						
G.03.01	Corporate staff record See below for individual record types	Human Resources	UK GDPR Institutional business requirements	Permanent retention Core records are retained to provide evidence of employment for individuals throughout their working life. This includes provision of	Yes	Restricted	Retained permanently on HR system, People XD Paper and digital archive storage is provided by Corporate Records Management

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
				references and resolution of employment or pensions queries.			
G.03.02	Contract of employment	Human Resources	UK GDPR	Permanent retention	Yes	Restricted	Part of corporate staff record
G.03.03	Staff registration form	Human Resources	UK GDPR	Permanent retention	Yes	Restricted	Part of corporate staff record
G.03.04	P45 / HMRC starter checklist	Human Resources	UK GDPR	Termination of employment + 6 years	No	Restricted	
G.03.05	Equality and diversity application data	Human Resources	UK GDPR	Termination of employment	No	Restricted	
G.03.06	Personal disclosure form	Human Resources	UK GDPR	Termination of employment	No	Restricted	
G.03.07	Health and capability declaration	Human Resources	UK GDPR	Permanent retention	Yes	Restricted	Part of corporate staff record
G.03.08	Occupational health questionnaire	Human Resources	UK GDPR	Termination of employment + 6 years	No	Restricted	
G.03.09	Right to work documentation	Human Resources	Immigration, Asylum and	Termination of employment + 2 years	No	Restricted	Further guidance available from UK

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
			Nationality Act 2006				Visas and Immigration
G.03.10	Job description and personal specification	Human Resources	Institutional business requirements	Permanent retention	Yes	Restricted	Part of corporate staff record
G.03.11	Disciplinary and capability proceedings	Human Resources	Limitation Act 1980 UK GDPR	Last action on case + 6 years	No	Highly restricted	
G.03.12	Formal grievances raised by staff	Human Resources	Limitation Act 1980 UK GDPR	Last action on case + 6 years	No	Highly restricted	
G.03.13	Tribunal case files	Human Resources	Limitation Act 1980 UK GDPR	Last action on case + 6 years	Yes	Highly restricted	Retain within HR for retention period then transfer to Corporate Records Management
G.03.14	Contractual and pay changes	Human Resources	UK GDPR	Permanent retention	Yes	Restricted	Part of corporate staff record
G.03.15	Promotion, regrading or secondments	Human Resources	UK GDPR	Permanent retention	Yes	Restricted	Part of corporate staff record

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
G.03.16	Statutory sickness pay calculations and certificates	Payroll & Pensions	UK GDPR	Termination of employment + 6 years	No	Restricted	
G.03.17	Statutory maternity or shared parental leave pay calculations and certificates	Payroll & Pensions	UK GDPR	Termination of employment + 6 years	No	Restricted	
G.03.18	Absence – parental leave, unpaid leave, sabbatical, study leave, career break	Faculties and Departments	UK GDPR	Termination of employment + 6 years	No	Restricted	
G.03.19	Emeritus appointments	Human Resources Faculties and Departments	UK GDPR	Permanent retention	Yes	Restricted	Further information available on HR internal pages
G.03.20	Visiting appointments	Human Resources Faculties and Departments	UK GDPR	Permanent retention	Yes	Restricted	Further information available on HR internal pages
G.03.21	Major injuries from workplace incidents	Health & Safety	Limitation Act 1980 UK GDPR	Termination of employment + 40 years	No	Highly restricted	
G.03.22	Termination of employment – resignation, retirement,	Human Resources	UK GDPR	Permanent retention	Yes	Restricted	Part of corporate staff record

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
	expiry of contract, redundancy, dismissal, death in service						
G.03.23	Redundancy calculations and refunds	Finance & Planning	UK GDPR	Permanent retention	Yes	Highly restricted	Part of corporate staff record
G.03.24	References provided for employment at another institution	Human Resources	UK GDPR	Provision of reference + 1 year	No	Restricted	
G.04	Training and development						
G.04.01	Development and delivery of induction programmes	Organisation Development Faculties and Departments	Institutional business requirements	Current year + 6 years	No	Restricted	Includes Welcome to King's
G.04.02	Individual attendance records for induction programmes	Faculties and Departments	UK GDPR	Completion of programme + 1 year	No	Restricted	
G.04.03	Analysis and summary of workforce development and training needs	Organisation Development	Institutional business requirements	Current year + 5 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
G.04.04	Annual list of training and development programmes	Organisation Development	Institutional business requirements	Permanent retention	Yes	Internal	
G.04.05	Statutory or regulatory role specific training	Faculties and Departments	Limitation Act 1980	Expiry of certification + 6 years	No	Restricted	
G.05	Performance management						
G.05.01	Probation documents	Human Resources	UK GDPR	Permanent retention	Yes	Restricted	Part of corporate staff record
G.05.02	Development of performance development review (PDR) programme and guidance	Human Resources	Institutional business requirements	Life of programme + 5 years	No	Internal	
G.05.03	Performance development review (PDR) forms	Line managers	UK GDPR	Current year + 5 years	No	Restricted	
G.06	Remuneration and reward						
G.06.01	Pay scales and structures	Human Resources	Institutional business requirements	Permanent retention	No	Internal	
G.06.02	Individual staff salary and progression	Human Resources	UK GDPR	Permanent retention	Yes	Restricted	Part of corporate staff record

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
G.06.03	Recognition awards	Human Resources	UK GDPR	Permanent retention	Yes	Restricted	Part of corporate staff record
G.06.04	Clinical Excellence Award	Human Resources	UK GDPR	Permanent retention	Yes	Restricted	Part of corporate staff record
G.06.05	Supervisory Excellence Award	Centre for Doctoral Studies	UK GDPR	Permanent retention	Yes	Restricted	Part of corporate staff record
G.06.06	Gender pay gaps reports	Equality, Diversity & Inclusion	Institutional business requirements	Current year + 5 years	Yes	Internal	Published on external webpages
G.07	Academic promotions						
G.07.01	Successful application for academic promotion or Academic Education Pathway (AEP)	Human Resources	UK GDPR	Application documents – 6 years Notification of outcome – Permanent retention as part of corporate staff record	Yes	Restricted	
G.07.02	Unsuccessful application for academic promotion or Academic Education Pathway (AEP)	Human Resources	UK GDPR	Notification of outcome + 12 months	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
G.07.03	Appointment as Professor of Practice	Human Resources	UK GDPR	Permanent retention	Yes	Restricted	Part of corporate staff record
G.07.04	Academic Staff Committee (including Arts & Sciences and Health Panels) – agenda and minutes	Human Resources	UK GDPR	Permanent retention	Yes	Restricted	Papers retained permanently by HR
G.07.05	Personal Circumstances Panel	Human Resources	UK GDPR	End of academic promotions round + 1 year	No	Highly restricted	
G.07.06	Process review request from unsuccessful applicants	Human Resources	UK GDPR	Notification of process review outcome + 12 months	No	Restricted	
G.07.07	Academic promotion applications or reports held at Faculty level	Faculties and Departments	UK GDPR	End of academic promotions round + 6 months	No	Restricted	
G.08	Welfare and wellbeing						
G.08.01	Records documenting overtime worked by employees, including those who have agreed	Human Resources	The Working Time Regulations 1998	Last date of overtime + 2 years	No	Restricted	Further information available from GOV.UK

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
	to work more than 48 hours per week						
G.08.02	Health assessments for night workers	Human Resources	The Working Time Regulations 1998	Completion of assessment + 2 years	No	Restricted	Further information available from GOV.UK
G.08.03	Occupational health referrals	Human Resources	Limitation Act 1980 UK GDPR	Termination of employment + 6 years	No	Highly restricted	
G.08.04	Exit survey data	Human Resources	Institutional business requirements	Permanent retention	No	Restricted	Remove personal information and retain as anonymous dataset
G.08.05	Individual responses to staff surveys and consultations	Faculties and Departments	UK GDPR	Completion of analysis of responses	No	Restricted	
G.08.06	Anonymous summary and results of staff surveys and consultations	Faculties and Departments	Institutional business requirements	Retain for reference or reporting as required. This will be dependent on the purpose of the survey or consultation.	No	Restricted	
G.09	Industrial relations						
G.09.01	Agreements with trade unions	Human Resources	Institutional business	Termination of agreement + 10 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
			requirements				
G.09.02	Communications with trade union representatives, including minutes of meetings	Human Resources	Institutional business requirements	Current year + 20 years	No	Restricted	
G.09.03	Consultations and negotiations with trade unions on specific issues	Human Resources	Institutional business requirements	Last action on issue + 20 years	No	Highly restricted	
G.09.04	Records of industrial action	Human Resources	UK GDPR	Termination of employment + 6 years	No	Highly restricted	
G.10	Equality, Diversity & Inclusion						
G.10.01	Equality, diversity and inclusion projects and self-assessments pertaining to protected characteristics	Equality, Diversity & Inclusion	The Equality Act 2010	Lifetime of project	No	Internal	Further details available on external webpages
G.10.02	Equality, diversity and inclusion surveys – individual responses	Equality, Diversity & Inclusion	UK GDPR	Current year + 6 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
G.10.03	Equality, diversity and inclusion surveys – final reports	Equality, Diversity & Inclusion	Institutional business requirements	Permanent retention	No	Restricted	Retained as anonymous dataset
G.10.04	Equality, diversity and inclusion publications, including annual reports	Equality, Diversity & Inclusion	Institutional business requirements	Permanent retention	Yes	External	Annual reports are published on external webpages
G.10.05	Award schemes – Carers’ Career Development Fund, Parent and Carer Leave Fund	Equality, Diversity & Inclusion	UK GDPR	Financial year + 6 years	No	Restricted	
G.10.06	Membership lists for community networks	Equality, Diversity & Inclusion	UK GDPR	Termination of membership	No	Restricted	Further information available on external webpages
G.11	King’s Search – Leadership recruitment						
G.11.01	Unsuccessful candidates – application forms and CVs	King’s Search	UK GDPR	Vacancy filled + 5 years	No	Restricted	Data is part of King’s Search knowledge base and candidates may be considered for future posts

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
G.11.02	Successful candidates – application forms and CVs	King’s Search	UK GDPR	Permanent retention	No	Restricted	Part of corporate staff record
G.11.03	Post advertisement or briefing document	King’s Search	Institutional business requirements	Retain for reuse as required	No	Restricted	
G.11.04	Shortlisting and interview notes	King’s Search	UK GDPR	Vacancy filled + 5 years	No	Restricted	Data is part of King’s Search knowledge base and candidates may be considered for future posts
G.11.05	References for unsuccessful candidates	King’s Search	UK GDPR	Vacancy filled + 5 years	No	Restricted	Data is part of King’s Search knowledge base and candidates may be considered for future posts
G.11.06	References for successful candidates	King’s Search	UK GDPR	Permanent retention	No	Restricted	Part of corporate staff record
G.11.07	Candidate profiles on Invenias database	King’s Search	UK GDPR	Last interaction + 7 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
G.12	Line managers						
G.12.01	Recruitment advert or agency brief	Line manager Faculties and Departments	Limitation Act 1980	Vacancy filled + 9 months	No	External	
G.12.02	Shortlisting notes, interview notes and test results	Line manager Faculties and Departments	UK GDPR	Vacancy filled + 6 months	No	Restricted	
G.12.03	Annual leave records	Line manager	UK GDPR	Current year + 1 year	No	Restricted	
G.12.04	Sickness records	Line manager	Limitation Act 1980 UK GDPR	Termination of employment + 6 years	No	Highly restricted	
G.12.05	Occupational health reports	Line manager	Limitation Act 1980 UK GDPR	Termination of employment + 6 years	No	Highly restricted	
G.12.06	Informal grievances or complaints	Line manager Faculties and Departments	UK GDPR	Resolution of issue + 3 years	No	Highly restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
G.12.07	PDR forms	Line manager	UK GDPR	Current year + 5 years	No	Restricted	
G.12.08	Declaration of Interest forms	Line manager	Limitation Act 1980 UK GDPR	Expiry of interests or termination of employment + 6 years	No	Restricted	See Disclosure of Interest Policy
G.12.09	Temporary staff – timesheets	Line manager	The Working Time Regulations 1998	Current year + 2 years	No	Restricted	
G.12.10	Temporary staff – CVs, application forms and references	Line manager Faculties and Departments	Limitation Act 1980 UK GDPR	Termination of employment + 6 years	No	Restricted	Further information on HR internal pages

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Section H: Health & Safety

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H.01.01	Health and safety policies, procedures and strategies	Health & Safety Services	Institutional business requirements	Permanent retention	Yes	External	Published externally on Policy Hub and internal pages

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
H.01.02	Health and safety annual reports	Health & Safety Services	Institutional business requirements	Permanent retention	Yes	Internal	
H.02	Risk assessments						
H.02.01	General risk assessments and supporting documentation	Faculties and Departments	Management of Health and Safety at Work Regulations 1999	Superseded + 5 years	No	Internal	
H.02.02	Genetic modification risk assessments	Faculties and Departments	Genetically Modified Organisms (Contained Use) Regulations 2014	Superseded + 10 years	No	Restricted	
H.02.03	Conduct, review and revision of risk assessments for exposure to hazardous substances	Health & Safety Services Faculties and Departments	Control of Substances Hazardous to Health Regulations 2002	Superseded + 10 years	No	Restricted	
H.02.04	Conduct, review and revision of risk assessments for work with ionising radiation	Health & Safety Services Faculties and Departments	Ionising Radiations Regulations 2017	Superseded + 10 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
H.02.05	Conduct, review and revision of risk assessments for work with non-ionising radiation	Health & Safety Services Faculties and Departments	Control of Artificial Optical Radiation at Work Regulations 2010	Superseded + 10 years	No	Restricted	
H.03	Hazard control – Display Screen Equipment (DSE)						
H.03.01	Conduct, review and revision of display screen equipment (DSE) assessments	Health & Safety Services	The Health and Safety (Display Screen Equipment) Regulations 1992	Superseded + 10 years	No	Restricted	
H.04	Hazard control – Hazardous substances						
H.04.01	List of employees exposed to Group 3 or Group 4 biological agents and records of exposures or incidents involving these agents	Health & Safety Services Human Resources	Control of Substances Hazardous to Health Regulations 2002	Current + 40 years	No	Highly restricted	
H.04.02	Maintenance of equipment provided to control exposure to hazardous substances	Estates & Facilities Health & Safety Services	Control of Substances Hazardous to Health Regulations 2002	Date of examination, inspection, test or repair + 5 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
H.04.03	Health records of employees exposed to substances hazardous to health	Human Resources Health & Safety Services	Control of Substances Hazardous to Health Regulations 2002	Last date on record + 40 years	No	Highly restricted	
H.04.04	General health surveillance records for exposure to hazardous substances	Health & Safety Services	Control of Substances Hazardous to Health Regulations 2002	Retain while current + 10 years	No	Highly restricted	
H.04.05	Plans and procedures for handling accidents, incidents and emergencies related to substances hazardous to health	Health & Safety Services	Control of Substances Hazardous to Health Regulations 2002	Superseded + 10 years	No	Internal	
H.04.06	Institutional responses to accidents, incidents and emergencies involving substances hazardous to health	Health & Safety Services	Control of Substances Hazardous to Health Regulations 2002	40 years	No	Restricted	
H.04.07	Controlled drugs record keeping	Users, suppliers, or producers of controlled drugs	Misuse of Drugs Regulations 2001	2 years	No	Restricted	Logs pertaining to the use, production and supply of all controlled drugs

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
							(schedules 1-5) regardless of licence requirements
H.05	Hazard control – Ionising radiation						
H.05.01	Maintenance of equipment provided to control exposure to ionising radiation	Faculties and Departments	Ionising Radiations Regulations 2017	Date of examination, test or repair + 5 years	No	Restricted	
H.05.02	Maintenance of personal protective equipment (PPE) provided to control exposure to ionising radiation	Faculties and Departments	Ionising Radiations Regulations 2017	Date of examination, test or repair + 2 years	No	Restricted	
H.05.03	Contingency plans for accidents or incidents involving radiation	Health & Safety Services Faculties and Departments	Ionising Radiations Regulations 2017	Superseded + 1 year	No	Internal	
H.05.04	Maintenance and testing of equipment for monitoring levels of ionising radiation	Faculties and Departments	Ionising Radiations Regulations 2017	Date of maintenance or testing + 2 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
H.05.05	Monitoring of ionising radiation levels in designated controlled areas	Faculties and Departments	Ionising Radiations Regulations 2017	Date of monitoring + 2 years	No	Restricted	
H.05.06	Assessments of doses of ionised radiation received by classified persons which are likely to be significant	Health & Safety Services Human Resources	Ionising Radiations Regulations 2017	Date of assessment + 50 years or until the employee reaches 75 years (whichever is later)	No	Highly restricted	
H.05.07	Summaries of dose records	Faculties and Departments	Ionising Radiations Regulations 2017	Current year + 2 years	No	Restricted	
H.05.08	Assessment of individual doses of ionising radiation received as a result of a radiation accident	Health & Safety Services Human Resources	Ionising Radiations Regulations 2017	Date of accident + 50 years or until the employee reaches 75 years (whichever is later)	No	Highly restricted	
H.05.09	Health records of employees exposed to ionising radiation	Human Resources Health & Safety Services	Ionising Radiations Regulations 2017	Date of last entry + 50 years or until the employee reaches 75 years (whichever is later)	No	Highly restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
H.05.10	Tests to detect leakage from articles containing or embodying radioactive substances	Faculties and Departments	Ionising Radiations Regulations 2017	Completion of subsequent test or disposal of article + 2 years	No	Restricted	
H.05.11	Quantity and location of radioactive substances	Health & Safety Services Faculties and Departments	Ionising Radiations Regulations 2017	Disposal of substance + 2 years or date of record + 2 years (whichever is longer)	No	Restricted	
H.05.12	Area decontamination and decommissioning records	Health & Safety Services Faculties and Departments	Environmental Permitting Regulations 2016	Until surrender of permit	Yes	Restricted	
H.06	Hazard control – Non-ionising radiation						
H.06.01	Maintenance of equipment provided to control exposure to non-ionising radiation	Faculties and Departments	Control of Artificial Optical Radiation at Work Regulations 2010	Date of examination, test or repair + 5 years	No	Restricted	
H.06.02	Maintenance of personal protective equipment (PPE) provided to control exposure to non-ionising radiation	Faculties and Departments	Control of Artificial Optical Radiation at Work Regulations 2010	Date of examination, test or repair + 2 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
H.07	Accident management						
H.07.01	Investigations into possible accidental release or theft of radioactive substances, where no release or theft was found to have occurred	Health & Safety Services Faculties and Departments	Ionising Radiations Regulations 2017	Date of report + 2 years	No	Restricted	
H.07.02	Investigations into possible accidental release or theft of radioactive substances, where release or theft was found to have occurred	Health & Safety Services Faculties and Departments	Ionising Radiations Regulations 2017 Environmental Permitting Regulations 2016	Date of report + 50 years	No	Restricted	
H.07.03	Online reporting of accidents or dangerous occurrences	Health & Safety Services Line managers	Management of Health and Safety at Work Regulations 1999 Limitation Act 1980 Reporting of Injuries, Diseases and Dangerous	Line managers – 3 years Health and Safety Services – 10 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
			Occurrences Regulations 2013				
H.07.04	F2508 form for reportable accidents and dangerous occurrences	Health & Safety Services	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013	40 years	No	Highly restricted	Incidents reportable to the Health and Safety Executive
H.07.05	F2508a form for reportable diseases	Health & Safety Services	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013	40 years	No	Highly restricted	Incidents reportable to the Health and Safety Executive
H.07.06	Investigation of reportable accidents, dangerous occurrences and notifiable diseases on university premises	Health & Safety Services Estates & Facilities	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013	Closure of investigation + 40 years	No	Highly restricted	
H.07.07	Arrangements with external emergency services for provision of first aid, medical care, fire-fighting or rescue services	Health & Safety Services Estates & Facilities	Regulatory Reform (Fire Safety) Order 2005	Superseded + 5 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
H.07.08	Reports of immediate investigations into possible overexposure to ionising radiation	Health & Safety Services	Ionising Radiations Regulations 2017	Date of final report + 2 years	No	Restricted	
H.07.09	Reports of investigations of occurrences of overexposure to ionising radiation	Health & Safety Services	Ionising Radiations Regulations 2017	Date of report + 50 years or not less than 30 years after last day of work (whichever is later)	No	Highly restricted	
H.07.10	Reports of investigations of occurrences of overexposure to non-ionising radiation	Health & Safety Services	Control of Artificial Optical Radiation at Work Regulations 2010	Date of report + 10 years	No	Highly restricted	
H.08	Fire safety						
H.08.01	Conduct, review and revision of fire safety risk assessments	Health & Safety Services	Regulatory Reform (Fire Safety) Order 2005	Superseded + 10 years	No	Restricted	
H.08.02	Fire safety arrangements and procedures, including building plans	Health & Safety Services Estates & Facilities	Regulatory Reform (Fire Safety) Order 2005	Superseded + 5 years	No	Internal	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
H.08.03	Fire certificates	Health & Safety Services	Regulatory Reform (Fire Safety) Order 2005	Permanent retention	No	Restricted	
H.08.04	Records of fire safety training for employees	Health & Safety Services Estates & Facilities	Regulatory Reform (Fire Safety) Order 2005	Superseded + 5 years	No	Restricted	
H.08.05	Appointment of evacuation marshals and controllers	Faculties and Departments	Regulatory Reform (Fire Safety) Order 2005	Termination of appointment	No	Restricted	
H.08.06	Risk assessment and maintenance of fire-fighting equipment, fire detectors and alarms	Estates & Facilities	Regulatory Reform (Fire Safety) Order 2005	Superseded + 5 years	No	Restricted	
H.08.07	Conduct and review of fire safety and building evacuation drills	Estates & Facilities	Regulatory Reform (Fire Safety) Order 2005	Superseded + 5 years	No	Restricted	
H.09	First aid						

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
H.09.01	Appointment of first aiders	Health & Safety Services Line managers	Institutional business requirements	Termination of appointment	No	Internal	
H.09.02	Provision of first aid information and arrangements to employees	Health & Safety Services	Health and Safety (First Aid) Regulations 1981	Superseded + 3 years	No	Internal	
H.09.03	Needs assessment and maintenance of first aid equipment and facilities	Health & Safety Services Faculties and Departments Estates & Facilities	Health and Safety (First Aid) Regulations 1981	Superseded + 3 years	No	Restricted	
H.10	Inspections and audits						
H.10.01	Conduct and results of health and safety inspections of buildings, facilities and operations	Health & Safety Services	Institutional business requirements	Date of inspection + 5 years	No	Restricted	
H.10.02	Conduct and results of health and safety audits	Health & Safety Services	Institutional business requirements	Completion of audit + 5 years	No	Restricted	
H.11	Training						

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
H.11.01	Provision of health and safety information, instruction and training for employees, students and visitors to campus	Health & Safety Services	Institutional business requirements	Superseded + 5 years	No	Internal	
H.11.02	Training and information for users of display screen equipment (DSE)	Health & Safety Services	The Health and Safety (Display Screen Equipment) Regulations 1992	Superseded + 5 years	No	Internal	
H.11.03	Training records for evacuation marshals and controllers	Health & Safety Services Estates & Facilities	Regulatory Reform (Fire Safety) Order 2005	Superseded + 5 years	No	Internal	
H.11.04	Training records for appointed first aiders	Health & Safety Services	Health and Safety (First Aid) Regulations 1981	Superseded + 3 years	No	Internal	
H.11.05	Records of training, information and instruction issued to employees exposed to hazardous substances	Health & Safety Services	Control of Substances Hazardous to Health Regulations 2002	Superseded + 10 years	No	Internal	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
H.11.06	Records of training, information and instruction issued to employees exposed to ionising radiation	Health & Safety Services	Ionising Radiations Regulations 2017	Superseded + 10 years	No	Internal	
H.11.07	Records of training, information and instruction issued to employees exposed to non-ionising radiation	Health & Safety Services	Control of Artificial Optical Radiation at Work Regulations 2010	Superseded + 10 years	No	Internal	
H.12	Legal notifications, registration and returns – Environment Agency						
H.12.01	Permit for unsealed radioactive materials	Health & Safety Services	Environmental Permitting Regulations 2016	Superseded + 10 years	No	External	
H.12.02	Permit for sealed radioactive materials	Health & Safety Services	Environmental Permitting Regulations 2016	Superseded + 10 years	No	Highly restricted	
H.12.03	Pollution inventory return	Health & Safety Services	Environmental Permitting Regulations 2016	1 year	No	External	
H.12.04	High Activity Sealed Source (HASS) Declaration	Health & Safety Services	Environmental Permitting Regulations 2016	5 years	No	Highly restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
H.12.05	Notifications as detailed in SPR018	Health & Safety Services	Environmental Permitting Regulations 2016	5 years	No	Restricted	
H.13	Legal notifications, registration and returns – Health and Safety Executive (HSE)						
H.13.01	GMO notification, including HSE form CU2	Health & Safety Services Faculties and Departments	Genetically Modified Organisms (Contained Use) Regulations 2014	Duration of notification + 10 years	No	Restricted	
H.13.02	Containment level 3 pathogens	Health & Safety Services Faculties and Departments	Control of Substances Hazardous to Health Regulations 2002 Management of Health and Safety at Work Regulations 1999	Duration of authority + 10 years	No	Restricted	
H.13.03	F10 form for new building projects	Health & Safety Services Estates & Facilities	Construction, Design and Management Regulations 2015	Duration of building project + 3 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
H.13.04	Registrations for work with ionising radiation	Health & Safety Services	Ionising Radiations Regulations 2017	Duration of licence + 5 years	No	External	
H.13.05	Consents for work with ionising radiation	Health & Safety Services	Ionising Radiations Regulations 2017	Duration of licence + 5 years	No	Restricted	
H.13.06	Notifications as detailed in SPR018	Health & Safety Services	Ionising Radiations Regulations 2017	5 years	No	Restricted	
H.14	Legal notifications, registration and returns – Home Office						
H.14.01	Annual declaration of storage and use of chemicals listed under the Chemical Weapons Convention	Health & Safety Services	Chemical Weapons Act 1996	10 years	No	Restricted	
H.14.02	Register and notification of dangerous pathogens and toxins	Health & Safety Services	Anti-Terrorism Crime and Security Act 2001	10 years	No	Restricted	
H.14.03	Notification and license to use explosive materials	Faculties and Departments	Explosives Regulations 2014	Duration of licence + 10 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
H.14.04	Notification of holdings of substances for use as drug precursors	Health & Safety Services	Misuse of Drugs Act 2001	Duration of notification + 5 years	No	Restricted	
H.14.05	Notification and licence for storage and use of controlled drugs	Faculties and Departments	Misuse of Drugs Act 2001	Duration of licence + 5 years	No	Restricted	
H.15	Legal notifications, registration and returns – UK Nuclear Safeguards						
H.15.01	Annual declaration of basic technical characteristics, stock list and accounting records of qualifying nuclear material	Health & Safety Services	Nuclear Safeguards Regulations 2019	5 years	No	Restricted	

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Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
I.01.01	Estates & Facilities policies and procedures	Estates & Facilities	Institutional business requirements	Permanent retention	Yes	External	Published on Policy Hub and external web pages

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
I.02	Tenders						
I.02.01	Tender documents – Successful tenders	Estates & Facilities	Limitation Act 1980	Completion of contract + 6 years 12 years for contracts executed as deeds	No	Restricted	
I.02.02	Tender documents – Unsuccessful tenders	Estates & Facilities	Institutional business requirements	2 years EU tenders – retain for life of project	No	Restricted	
I.03	Suppliers						
I.03.01	Register of approved suppliers	Estates & Facilities	Consumer Protection Act 1987	Retain while current	No	Restricted	
I.03.02	Identification and vetting of potential suppliers	Estates & Facilities	Institutional business requirements	5 years	No	Restricted	
I.03.03	Supplier evaluation reports	Estates & Facilities	Institutional business requirements	5 years	No	Restricted	
I.03.04	Management of supplier relationships	Estates & Facilities	Institutional business requirements	Termination of relationship + 2 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
I.03.05	Supplies and services files	Estates & Facilities	Limitation Act 1980	Termination of contract + 6 years	No	Restricted	
I.03.06	Record of works	Estates & Facilities	Institutional business requirements	Completion of works + 12 years	No	Restricted	
I.03.07	Monitoring of supplier performance	Estates & Facilities	Limitation Act 1980	Termination of contract + 6 years	No	Restricted	
I.03.08	Conductor review reports	Estates & Facilities	Limitation Act 1980	Termination of contract + 6 years	No	Restricted	
I.04	Equipment and premises maintenance						
I.04.01	Plant and equipment testing, maintenance and statutory inspections including certificates, repair reports, maintenance logs, and other records of corrective actions	Estates & Facilities	Limitation Act 1980	Life of plant/equipment + 6 years	No	Restricted	Includes data held in Trend (building management system), Prologic (lighting control system), and Crimson (lift maintenance)
I.04.02	Operations and maintenance (O&M) manuals	Estates & Facilities	Institutional business requirements	Life of plant/equipment	No	Internal	Includes data held in Zutec

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
I.04.03	Major property maintenance works, including refurbishments	Estates & Facilities	Limitation Act 1980	Retain until disposal of property	No	Restricted	
I.04.04	Minor property maintenance works, including refurbishments	Estates & Facilities	Limitation Act 1980	Completion of works + 15 years	No	Restricted	
I.04.05	Major maintenance work within facilities	Estates & Facilities	Limitation Act 1980	Completion of works + 15 years	No	Restricted	Includes data held in Planon
I.04.06	Minor maintenance work within facilities	Estates & Facilities	Limitation Act 1980	Completion of works + 5 years	No	Restricted	Includes data held in Planon
I.04.07	Specification of requirements for facilities	Estates & Facilities	Limitation Act 1980	Completion of works + 15 years	No	Restricted	
I.04.08	Routine property inspections	Estates & Facilities	Institutional business requirements	5 years	No	Restricted	Includes data held in Planon
I.04.09	Routine facilities inspections	Estates & Facilities	Institutional business requirements	Completion of two subsequent inspections	No	Restricted	Includes data held in Planon

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
I.04.10	Permits to work and permits to access	Estates & Facilities	Reporting of Injuries, Diseases or Dangerous Occurrences Regulations 2013	Expiry of permit + 3 years	No	Restricted	
I.05	Estate management						
I.05.01	Property acquisition and supporting documentation	Estates & Facilities	Limitation Act 1980	Disposal of property + 12 years	No	Restricted	
I.05.02	Negotiations for properties (where property is not acquired)	Estates & Facilities	Limitation Act 1980	Closure of negotiations + 6 years	No	Restricted	
I.05.03	Title deeds	University solicitors	Institutional business requirements	Permanent retention	Yes	Restricted	On disposal of property, deeds may be transferred to Archives
I.05.04	Leases	University solicitors	Institutional business requirements	Permanent retention	Yes	Restricted	On expiry, leases maybe transferred to Archives

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
I.05.05	Negotiation of leases	Estates & Facilities	Limitation Act 1980	Expiry of lease + 15 years	No	Restricted	
I.05.06	Leasing out arrangements for properties	Estates & Facilities	Limitation Act 1980	Termination of lease + 6 years OR Termination of lease + 12 years (for leases executed as deeds)	No	Restricted	
I.05.07	Mortgage deeds	University solicitors	Institutional business requirements	Permanent retention	Yes	Restricted	On expiry or disposal of property, deeds may be transferred to Archives
I.05.08	Disposal of property by sale, transfer or donation	Estates & Facilities	Limitation Act 1980	Disposal of property + 12 years	No	Restricted	
I.05.09	Building plans and floor plans	Estates & Facilities	Institutional business requirements	Permanent retention	Yes	Restricted	One copy to be transferred to Archives . Includes data held in Planon

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
I.05.10	Space audits	Estates & Facilities	Institutional business requirements	Completion of subsequent audit + 5 years	No	Restricted	
I.06	Property development						
I.06.01	Planning applications and supporting documentation	Estates & Facilities	Institutional business requirements	Permanent retention	Yes	Restricted	One copy to be transferred to Archives
I.06.02	Major works building drawings	Estates & Facilities	Institutional business requirements	Permanent retention	Yes	Restricted	One copy to be transferred to Archives
I.06.03	Health and safety files for properties and premises	Estates & Facilities	The Construction (Design and Management) Regulations 2015	Retain until disposal of property	No	Restricted	
I.06.04	Planning documents for relocation of facilities	Estates & Facilities	Institutional business requirements	Completion of relocation + 10 years	No	Restricted	
I.06.05	Working documents for relocation of facilities	Estates & Facilities	Institutional business requirements	Completion of relocation + 2 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
I.06.06	F10 form for new building projects	Health & Safety Services / Estates & Facilities	Construction, Design and Management Regulations 2015	Duration of building project + 3 years	No	Restricted	For notification to Health and Safety Executive
I.07	Sustainability management						
I.07.01	Routine monitoring of university energy use	Estates & Facilities	Institutional business requirements	5 years	No	Restricted	
I.07.02	Formal reviews of energy use	Estates & Facilities	Institutional business requirements	Completion of review + 5 years	No	Restricted	
I.07.03	Environmental audits	Estates & Facilities	Institutional business requirements	Completion of audit + 5 years	No	Restricted	
I.07.04	Environmental audits evidence	Estates & Facilities	Institutional business requirements	Completion of audit + 3 years	No	Restricted	
I.07.05	Retention of ISO 14001 documented information	Estates & Facilities	Institutional business requirements	Completion of audit of EMS + 3 years	No	Restricted	ISO 14001 specifies requirements for an effective environmental management system (EMS)

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
I.07.06	Evidence of environmental compliance	Estates & Facilities	Institutional business requirements	Completion of audit or review + 3 years	No	Restricted	
I.07.07	Data collected relating to the WOHL Ground Source Heat Pump (GSHP)	Estates & Facilities	Institutional business requirements	Retain while current + 6 years	No	Restricted	
I.07.08	Fluorinated gas (F-gas) records	Estates & Facilities	Institutional business requirements	Retain while current + 5 years	No	Restricted	
I.07.09	Energy performance of buildings – TM44 inspection reports	Estates & Facilities	Energy Performance of Buildings Regulations 2012	Retain while current + 5 years	No	Restricted	
I.07.10	Energy Savings Opportunity Scheme reports	Estates & Facilities	Institutional business requirements	Retain while current + 5 years	No	Restricted	
I.07.11	Control of Substances Hazardous to Health (COSHH) records	Estates & Facilities	Control of Substances Hazardous to Health Regulations 2002	Retain while current + 40 years	No	Restricted	See also Section H: Health & Safety

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
I.07.12	Compliance with the UK Timber Regulations	Estates & Facilities	The Timber & Timber Products Regulations 2013	Retain while current + 5 years	No	Restricted	
I.07.13	Compliance with REACH Regulations	Estates & Facilities	Institutional business requirements	Retain while current + 10 years	No	Restricted	REACH = Registration, Evaluation, Authorisation and Restriction of Chemicals Regulation
I.07.14	Sustainability Champions – personal data	Estates & Facilities	Institutional business requirements	Termination of appointment	No	Restricted	
I.07.15	Sustainability resources	Estates & Facilities	Institutional business requirements	While current	No	Restricted	
I.07.16	Sustainability training records	Estates & Facilities	Institutional business requirements	5 years	No	Restricted	
I.07.17	Attainment and maintenance of accreditation under environmental management schemes	Estates & Facilities	Institutional business requirements	Termination of accreditation + 1 year	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
I.08	Security management						
I.08.01	Physical access controls to secure areas (i.e. key issue and return logs, access logs, etc)	Estates & Facilities	UK GDPR	2 years	No	Restricted	
I.08.02	Building access control system – personal data	Estates & Facilities	UK GDPR	2 years	No	Restricted	
I.08.03	Building access control system – anonymous data	Estates & Facilities	Institutional business requirements	Permanent retention	No	Restricted	
I.08.04	Records of ID cards issued to visitors	Estates & Facilities	UK GDPR	Expiry of pass + 1 month	No	Restricted	
I.08.05	Records of ID cards issued to students and staff	Estates & Facilities	UK GDPR	Expiry of pass + 1 year	No	Restricted	
I.08.06	Incident logs	Estates & Facilities	UK GDPR	2 years	No	Restricted	
I.08.07	Maintenance and testing of fire alarm systems	Estates & Facilities	Regulatory Reform (Fire Safety) Order 2005	Current year + 5 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
I.08.08	Security surveillance systems	Estates & Facilities	UK GDPR	No longer than 90 days	No	Restricted	
I.08.09	Security inspections of properties and premises	Estates & Facilities	Institutional business requirements	Date of inspection + 5 years	No	Restricted	
I.08.10	Security incidents or breaches, including theft reports	Estates & Facilities	Institutional business requirements	Last action on incident + 1 year	No	Restricted	
I.09	Risk assessments						
I.09.01	General risk assessments and supporting documentation	Departments	Management of Health and Safety at Work Regulations 1999	Superseded + 5 years	No	Internal	Risk assessments for hazard control are covered later in this schedule
I.09.02	Fire risk assessments	Health & Safety Services Estates & Facilities	Regulatory Reform (Fire Safety) Order 2005	Retain while current + 10 years	No	Restricted	
I.10	Hazard control – Noise						
I.10.01	Conduct, review and revision of risk assessments for exposure to noise	Estates & Facilities Health & Safety Services	Control of Noise at Work Regulations 2005	Superseded + 10 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
I.10.02	Records documenting provision of personal protective equipment (PPE) to employees	Estates & Facilities Health & Safety Services	Control of Noise at Work Regulations 2005	Return or disposal of equipment + 1 year	No	Restricted	Record of PPE issued should be included on employee staff record
I.10.03	Maintenance of equipment to control exposure to noise	Estates & Facilities Health & Safety Services	Control of Noise at Work Regulations 2005	Date of examination, test or repair + 10 years	No	Restricted	
I.10.04	Health records of employees exposed to noise	Human Resources Health & Safety Services	Control of Noise at Work Regulations 2005	Last date on record + 40 years	No	Highly restricted	
I.10.05	Records of training, information and instruction issued to employees exposed to noise	Estates & Facilities Health & Safety Services	Control of Noise at Work Regulations 2005	Superseded + 10 years	No	Restricted	
I.11	Hazard control – Lead						
I.11.01	Conduct, review and revision of risk assessments for work involving lead	Estates & Facilities Health & Safety Services	Control of Lead at Work Regulations 2002	Superseded + 40 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
I.11.02	Maintenance of equipment provided to control exposure to lead	Estates & Facilities Health & Safety Services	Control of Lead at Work Regulations 2002	Date of examination, test or repair + 40 years	No	Restricted	
I.11.03	Air monitoring records (where a risk assessment has identified potential exposure to lead)	Estates & Facilities Health & Safety Services	Control of Lead at Work Regulations 2002	Last entry + 40 years	No	Restricted	
I.11.04	Health records of employees exposed to lead	Human Resources Health & Safety Services	Control of Lead at Work Regulations 2002	Last date on record + 40 years	No	Highly restricted	
I.11.05	Records of training, information and instruction issued to employees exposed to lead	Estates & Facilities Health & Safety Services	Control of Lead at Work Regulations 2002	Superseded + 40 years	No	Restricted	
I.11.06	Plans and procedures for handling accidents, incidents and emergencies related to presence of lead	Estates & Facilities Health & Safety Services	Control of Lead at Work Regulations 2002	Superseded + 40 years	No	Internal	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
I.11.07	Institutional responses to accidents, incidents and emergencies involving lead	Estates & Facilities Health & Safety Services	Control of Lead at Work Regulations 2002	Last action + 40 years	No	Restricted	
I.12	Hazard control – Asbestos						
I.12.01	Assessment and monitoring of presence and condition of asbestos	Estates & Facilities Health & Safety Services	Control of Asbestos Regulations 2012	Completion of work + 40 years	No	Restricted	
I.12.02	Conduct, review and revision of risk assessments for exposure to asbestos	Estates & Facilities Health & Safety Services	Control of Asbestos Regulations 2012	Superseded + 40 years	No	Restricted	
I.12.03	Plans for undertaking work with asbestos	Estates & Facilities Health & Safety Services	Control of Asbestos Regulations 2012	Completion of work + 40 years	No	Restricted	
I.12.04	Notification to enforcing authorities of proposed work with asbestos	Estates & Facilities Health & Safety Services	Control of Asbestos Regulations 2012	Duration of work + 40 years	No	Restricted	
I.12.05	Asbestos removal	Estates & Facilities	Control of Asbestos Regulations 2012	Duration of building project + 40 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
		Health & Safety Services					
I.12.06	Records of training, information and instruction issued to employees exposed to asbestos	Estates & Facilities Health & Safety Services	Control of Asbestos Regulations 2012	Superseded + 40 years	No	Restricted	
I.12.07	Maintenance of equipment provided to control exposure to asbestos	Estates & Facilities Health & Safety Services	Control of Asbestos Regulations 2012	Date of examination, test or repair + 40 years	No	Restricted	
I.12.08	Plans and procedures for handling accidents, incidents and emergencies related to presence of asbestos	Estates & Facilities Health & Safety Services	Control of Asbestos Regulations 2012	Superseded + 40 years	No	Internal	
I.12.09	Institutional responses to accidents, incidents and emergencies involving exposure to asbestos	Estates & Facilities Health & Safety Services	Control of Asbestos Regulations 2012	Last action + 40 years	No	Restricted	
I.12.10	Monitoring of employees general exposure to asbestos	Estates & Facilities Health & Safety Services	Control of Asbestos Regulations 2012	Date of monitoring + 40 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
I.12.11	Health records of employees exposed to asbestos	Human Resources Health & Safety Services	Control of Asbestos Regulations 2012	Last date on record + 40 years	No	Highly restricted	
I.12.12	Asbestos register	Estates & Facilities Health & Safety Services	Control of Asbestos Regulations 2012	Permanent retention	No	Restricted	Includes data held in Planon
I.13	Hazard control – Legionella						
I.13.01	Monitoring and tests/checks for presence of legionella	Estates & Facilities Health & Safety Services	Control of Substances Hazardous to Health Regulations 2002	Completion of work + 10 years	No	Restricted	
I.13.02	Plans and procedures for handling incidents related to presence of legionella	Estates & Facilities Health & Safety Services	Control of Substances Hazardous to Health Regulations 2002	Superseded + 10 years	No	Internal	
1.13.03	Health records of employees exposed to legionella	Human Resources Health & Safety Services	Control of Substances Hazardous to Health Regulations 2002	Last date on record + 40 years	No	Highly restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
1.13.04	Legionella risk assessments	Estates & Facilities Health & Safety Services	Control of Substances Hazardous to Health Regulations 2002	Permanent retention	No	Restricted	
I.14	Waste management						
I.14.01	Register of 'special waste' disposed of by licensed contractors	Estates & Facilities	Regulation 15 of the Special Waste Regulations 1996 (SI 1996/972).	Removal of waste + 3 years	No	Restricted	'Special waste' as defined by the Special Waste Regulations 1996
I.14.02	Hazardous waste consignment notes (for disposal of hazardous waste, including hazardous WEEE waste)	Estates & Facilities	Regulation 49 of the Hazardous Waste (England and Wales) Regulations 2005 (SI 2005/894)	Removal of waste + 3 years	No	Restricted	Hazardous waste is defined by the Hazardous Waste (England and Wales) Regulations 2005
I.14.03	Waste transfer notes (for disposal of non-hazardous waste, including non-hazardous WEEE waste)	Estates & Facilities	Part 9 of The Waste (England and Wales) Regulations 2011 (SI 2011/988)	Removal of waste + 2 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
I.14.04	Disposal of confidential waste	Estates & Facilities	Institutional business requirements	Removal of waste + 3 years	No	Restricted	
I.15	Residences and accommodation						
I.15.01	King's Residences – registration forms	King's Residences	UK GDPR	2 years	No	Restricted	
I.15.02	Student self-assessment form and supporting documentation, including for Additional Accommodation Requirements (AAR) and King's Affordable Accommodation Scheme (KAAS)	King's Residences	UK GDPR	2 years	No	Highly restricted	Data held in Mercury RMS
I.15.03	Criminal convictions declaration for successful applicants for accommodation in King's residences	King's Residences	UK GDPR	Completion of programme + 6 years	No	Highly restricted	Applies to convictions which are not spent under the Rehabilitation of Offenders Act 1974

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
I.15.04	Criminal convictions declaration for unsuccessful applicants for accommodation in King's residences	King's Residences	UK GDPR	Notification of outcome + 6 months	No	Highly restricted	Applies to convictions which are not spent under the Rehabilitation of Offenders Act 1974
I.15.05	Accommodation allocation and occupancy lists	King's Residences	UK GDPR	2 years	No	Restricted	Data held in Mercury RMS
I.15.06	Fees and charges information, including pre-payment, invoices, etc.	King's Residences	UK GDPR	7 years	No	Highly restricted	Data held in Mercury RMS
I.15.07	Student residential file, including any medical information, household income and Personal Emergency Evacuation Plans (PEEPs)	King's Residences	UK GDPR	Completion of programme + 1 year	No	Highly restricted	
I.15.08	Student residential disciplinary, complaint or appeal records	King's Residences	UK GDPR	Completion of programme + 1 year	No	Highly restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
I.15.09	Records relating to student visitors and guests	King's Residences	UK GDPR	Completion of programme + 1 year	No	Restricted	
I.15.10	Student welfare records	King's Residences Welfare Team	UK GDPR	2 years	No	Highly restricted	
I.15.11	Applicant data for ResiLife and Welfare Lead annual recruitment	King's Residences ResiLife Team and Welfare Team	UK GDPR	Unsuccessful applicants – Notification of outcome + 6 months Successful applicants – Termination of appointment + 6 years	No	Restricted	
I.15.12	Residential buildings maintenance and inspection certificates and records	King's Residences and Engineering Department (Estates & Facilities)	Institutional business requirements	7 years	No	Restricted	
I.16	King's Sport						
I.16.01	Gym membership records	King's Sport	Limitation Act 1980	Termination of membership + 6 years	No	Restricted	
I.16.02	BeActive membership records	King's Sport	Limitation Act 1980	Termination of membership + 6 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
I.16.03	Financial records	King's Sport	Limitation Act 1980	End of financial year + 6 years	No	Restricted	
I.16.04	Hiring out of sportsgrounds	King's Sport	Limitation Act 1980	End of financial year + 6 years	No	Restricted	
I.16.05	Sports equipment inspection and maintenance records	King's Sport	Limitation Act 1980	Life of equipment + 6 years	No	Restricted	
I.16.06	Statutory or regulatory role specific training records	King's Sport	Limitation Act 1980	Expiry of certification + 6 years	No	Restricted	
I.17	King's Venues						
I.17.01	Online booking form	King's Venues	Institutional business requirements	End of financial year + 6 years	No	Restricted	
I.17.02	Event plan and risk assessment	King's Venues	Institutional business requirements	End of financial year + 6 years	No	Restricted	
I.17.03	Signed hire agreement	King's Venues	Institutional business requirements	End of financial year + 6 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
I.17.04	Purchase orders for chargeable items	King's Venues	Institutional business requirements	End of financial year +6 years	No	Restricted	
I.17.05	Venue set-up arrangements, including seating, AV and catering	King's Venues	Institutional business requirements	Date of event + 1 year	No	Restricted	

Records Retention Schedule Section J: External Relations

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Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
J.01.01	External Relations policies and procedures	External Relations	Institutional business requirements	Permanent retention	Yes	External	Published on Policy Hub and internal web pages
J.01.02	External Relations publications	External Relations	Institutional business requirements	Permanent retention	Yes	External	Transfer one copy to Archives (in paper or digital format)
J.02	Media relations						
J.02.01	List or database of media contacts	Corporate Communications	Institutional business requirements	Retain until superseded	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
J.02.02	Planning and organisation of media briefings and interviews	Corporate Communications	Institutional business requirements	Date of event + 1 year	No	Restricted	
J.02.03	Transcripts of media briefings and interviews	Corporate Communications	Institutional business requirements	Date of event + 5 years	No	Internal	
J.02.04	Press releases	Corporate Communications	Institutional business requirements	7 years	No	External	
J.02.05	Media monitoring and analysis	Corporate Communications	Institutional business requirements	5 years	No	Restricted	
J.02.06	Media enquiries and responses provided	Corporate Communications	Institutional business requirements	Last action on enquiry + 3 years	No	Internal	
J.02.07	Directory of Experts database	Corporate Communications	Institutional business requirements	Termination of employment	No	External	
J.02.08	Directory of public relations agencies	Corporate Communications	Limitation Act 1980	Termination of agreement + 6 years	No	Internal	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
J.03	HE/FE sector relations						
J.03.01	Communications with Office for Students (OfS), Universities UK (UUK) and other HE/FE institutions	Vice-Chancellor & President's Office Public Affairs & External Insight	Institutional business requirements	Current year + 5 years	No	Restricted	
J.03.02	Formal responses to consultations conducted by Office for Students (OfS) and Universities UK (UUK)	Vice-Chancellor & President's Office Public Affairs & External Insight	Institutional business requirements	Last action + 5 years	No	Internal	
J.03.03	Reports to Office for Students (OfS) and other regulatory bodies	Vice-Chancellor & President's Office Public Affairs & External Insight	Institutional business requirements	Submission of report + 5 years	Yes	Internal	Transfer one copy to Archives (in paper or digital format)
J.03.04	Planning of events held for HE/FE sector	Vice-Chancellor & President's Office Public Affairs & External Insight	Institutional business requirements	Completion of event + 3 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
J.03.05	Institutional membership of HE/FE organisations	Vice-Chancellor & President's Office Public Affairs & External Insight	Institutional business requirements	Termination of membership + 1 year	No	Internal	
J.03.06	Institutional participation in external HE/FE activities (including committees)	Vice-Chancellor & President's Office Public Affairs & External Insight	Institutional business requirements	Termination of involvement + 1 year	No	Restricted	
J.03.07	Contractual relationships with other HE/FE institutions	Vice-Chancellor & President's Office Public Affairs & External Insight	Limitation Act 1980	Termination of contract + 6 years	No	Restricted	
J.04	Government relations						
J.04.01	Correspondence with government bodies	Vice-Chancellor & President's Office Public Affairs & External Insight	Institutional business requirements	Current year + 5 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
J.04.02	Requests for information from government bodies	Vice-Chancellor & President's Office Public Affairs & External Insight	Institutional business requirements	Current year + 5 years	No	Restricted	
J.04.03	Formal responses to consultations conducted by government bodies	Vice-Chancellor & President's Office Public Affairs & External Insight	Institutional business requirements	Last action + 5 years	No	Restricted	
J.04.04	Reports to government bodies	Vice-Chancellor & President's Office Public Affairs & External Insight	Institutional business requirements	Submission of report + 5 years	Yes	Restricted	Transfer one copy to Archives (in paper or digital format)
J.04.05	Institutional participation in formal government or public enquiries	Vice-Chancellor & President's Office Public Affairs & External Insight	Institutional business requirements	Last action on inquiry + 10 years	Yes	Highly restricted	Transfer final set of papers to Archives (in paper or digital format)
J.05	Community relations						

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
J.05.01	Enquiries from members of the local community	Vice President (International, Engagement & Service) Vice-Chancellor & President's Office	Institutional business requirements	Last action + 1 year	No	Restricted	
J.05.02	Feedback from members of the local community	Vice President (International, Engagement & Service) Vice-Chancellor & President's Office	Institutional business requirements	Last action + 1 year	No	Restricted	
J.05.03	Results, summaries and analysis of community surveys	Vice President (International, Engagement & Service) Vice-Chancellor & President's Office	Institutional business requirements	Completion of survey + 3 years	No	Internal	
J.05.04	Complaints from members of the local community	Vice President (International, Engagement & Service) Vice-Chancellor & President's Office	Institutional business requirements	Last action on complaint + 1 year	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
J.05.05	Planning and administration of local community events	Vice President (International, Engagement & Service) Vice-Chancellor & President's Office	Institutional business requirements	Completion of event +3 years	No	Internal	
J.05.06	Institutional membership or involvement with local community organisations, including committees	Vice President (International, Engagement & Service) Vice-Chancellor & President's Office	Institutional business requirements	Termination of membership or involvement + 1 year	No	Restricted	
J.06	Fundraising & Supporter Development						
J.06.01	Alumni personal records	Fundraising & Supporter Development	UK GDPR (Legitimate interest)	Indefinitely	No	Restricted	King's relationship with Alumni is lifelong and data is retained indefinitely. Alumni can exercise their right to be forgotten at any time.
J.06.02	Non-alumni and supporters (including donors, eventers and fundraisers) This includes anyone who has	Fundraising & Supporter Development	UK GDPR (Consent)	Last interaction* or donation + 7 years After 2 years with no interaction the contact will be marked as lapsed	No	Restricted	* Interaction is defined as making a donation, making contact with the FSD office, attending an event or opening an

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
	made a donation to King's or fundraised and has donations on their record			and general marketing communications will cease. Individuals may receive a reactivation marketing mail at this stage. After 7 years personal data will be deleted with anonymous financial records retained for reporting purposes.			email
J.06.03	Non-alumni major gifts prospects	Fundraising & Supporter Development	UK GDPR (Consent)	Last interaction * or donation + 7 years	No	Restricted	Individuals who are potential future donors but have not yet made a donation
J.06.04	Non-alumni volunteers	Fundraising & Supporter Development	UK GDPR (Consent)	Last interaction * or donation + 7 years	No	Restricted	Includes Campaign Board members and mentors
J.06.05	Non-alumni engagement interactions	Fundraising & Supporter Development	UK GDPR (Consent)	Last interaction * or donation + 7 years	No	Restricted	Individuals who have registered or attended an engagement event,

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
							engaged with a communication from the Alumni Office or participated in an Alumni Office led activity
J.06.06	Non-alumni enquirers (non-converted)	Fundraising & Supporter Development	UK GDPR (Consent)	Last interaction * or donation + 7 years	No	Restricted	Individuals who have enquired about donations, legacies or events but not signed up
J.06.07	Individuals linked to Trusts and Foundations	Fundraising & Supporter Development	UK GDPR (Consent and legitimate interest)	Last interaction * or donation + 7 years	No	Restricted	Where contact with the Trust or Foundation is via a named individual or personal email account
J.06.08	Legacy intenders and pledgers (Alumni and non-alumni)	Fundraising & Supporter Development	UK GDPR Legitimate interest (Alumni only) Consent (Non-alumni)	Indefinitely Legacy information will be retained for a minimum of 12 years following the death of a legacy pledger as this is the time allowed to contest a will. King's	No	Restricted	Legacy intenders and pledgers will be part of marketing campaigns unless they opt out of these communications

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
				policy is to retain this information indefinitely			
J.06.09	Complaints from alumni or non-alumni	Fundraising & Supporter Development	Office for Students and Charity Commission	Alumni – Retain indefinitely Non-alumni – Last interaction or donation + 7 years	No	Restricted	
J.06.10	Consent capture	Fundraising & Supporter Development	UK GDPR	Alumni – Retain indefinitely Non-alumni – Last interaction or donation + 7 years	No	Restricted	Personal data will be collected and held in compliance with UK GDPR
J.06.11	Data sent to third parties for processing	Fundraising & Supporter Development	UK GDPR (Legitimate interest)	Termination of contract or contractual obligations with third party + 3 months	No	Restricted	Third parties are used for activities including mass mailings, processing responses to appeals and data analysis
J.06.12	Alumni publications, including InTouch magazine	Fundraising & Supporter Development	Institutional business requirements	Permanent retention	Yes	External	Transfer one copy to Archives (in paper or digital format)
J.07	Brand & Marketing						

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
J.07.01	University prospectuses	Brand & Marketing	Institutional business requirements	Permanent retention	Yes	External	Transfer one copy to Archives (in paper or digital format)
J.07.02	Marketing publications including leaflets, brochures and magazines	Brand & Marketing	Institutional business requirements	Permanent retention	Yes	External	Transfer one copy to Archives (in paper or digital format)
J.07.03	Directory of designers and agencies	Procurement Strategy & Services Brand & Marketing	Limitation Act 1980	Termination of agreement + 6 years	No	Internal	List of approved suppliers is available on internal web pages
J.07.04	Market research – personal data from individual responses	Brand & Marketing	UK GDPR	Completion of analysis of data	No	Restricted	
J.07.05	Market research – summary and analysis	Brand & Marketing	Institutional business requirements	Completion of research + 10 years	No	Internal	
J.07.06	Design and development of marketing campaigns	Brand & Marketing	Institutional business requirements	Permanent retention	Yes	Internal	
J.07.07	Design of institutional corporate identity marks, logos and style guide	Brand & Marketing	Institutional business requirements	Retain until superseded then transfer to Archives	Yes	Internal	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
J.07.08	Commissioned photography for marketing or branding purposes	Brand & Marketing	Institutional business requirements	Permanent retention (unless permission for use is withdrawn)	Yes	Internal	Stored in King's image library
J.08	Executive Education						
J.08.01	Executive education programmes – participant data	King's Professional & Executive Development (KPED)	UK GDPR	Completion of programme + 2 years	No	Restricted	
J.08.02	Executive education programmes – administrative records	King's Professional & Executive Development (KPED)	Institutional business requirements	Permanent retention	No	Restricted	To allow business planning and reporting
J.09	Global Engagement						
J.09.01	International educational partnerships	Global Engagement Quality, Standards & Enhancement	Limitation Act 1980	Lifetime of agreement + 6 years	No	Restricted	
J.09.02	International collaborative provision programmes and activities	Global Engagement Quality, Standards & Enhancement	Limitation Act 1980	Lifetime of agreement + 6 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
J.09.03	International institutional agreements	Global Engagement	Limitation Act 1980	Lifetime of agreement + 6 years	No	Restricted	

Records Retention Schedule

Section K: Information Technology (IT) Services

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Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
K.01.01	IT policies, including the IT Acceptable Use Policy and related procedures	Office of the CIO	Institutional business requirements	Permanent retention	Yes	External	Available on Policy Hub .
K.02	Systems operations management						
K.02.01	Routine system monitoring and testing to identify problems and optimise performance	IT Services	Institutional business requirements	2 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
K.02.02	Investigation of faults reported by users of IT systems	IT Services	Institutional business requirements	Resolution of fault + 1 year	No	Restricted	
K.02.03	Data storage management, including records of routine data archiving and deletion	IT Services	Institutional business requirements	Current year + 1 year	No	Restricted	
K.02.04	User request to recover archived or deleted data	IT Services	Institutional business requirements	Last action on request + 3 months	No	Restricted	
K.02.05	General back-ups for on-premises servers and systems	IT Services	Institutional business requirements	File deletion + 6 months	No	Restricted	
K.02.06	Maintenance of software licences for IT systems	IT Services	Institutional business requirements	Until superseded	No	Restricted	
K.03	Systems security management						
K.03.01	System level security procedures and documentation	IT Services	Institutional business requirements	Decommissioning of system + 5 years	No	Restricted	
K.03.02	Records of opening, maintaining and closing user accounts	IT Services	UK GDPR	Closure of account + 1 year	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
	within university IT systems						
K.03.03	Routine monitoring of systems use to ensure compliance with university policies	IT Services	Institutional business requirements	2 years	No	Restricted	
K.03.04	Records documenting attempted or actual security breaches of IT systems and actions taken	IT Services	Institutional business requirements	Last action on incident + 5 years	No	Highly restricted	
K.03.05	Incident reports	IT Services	Institutional business requirements	Date of incident + 5 years	No	Restricted	
K.03.06	Request and authorisation for connecting third party equipment to university networks	IT Services	Institutional business requirements	Termination of connection + 1 year	No	Restricted	
K.03.07	Records of disposal of IT equipment	IT Services	UK GDPR Environmental Protection Act 1990	Date of disposal + 3 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
K.04	Office 365 and homedrive data						
K.04.01	Personal OneDrive accounts (Office365)	IT Services	UK GDPR	Completion of study or termination of contract + 30 days	No	Restricted	
K.04.02	Personal email accounts (Office365)	IT Services	UK GDPR	Completion of study or termination of contract + 30 days	No	Restricted	To apply retention rules to emails or folders in Microsoft Outlook or Office 365, right click and selecting <i>Assign Policy</i> .
K.04.03	MS Teams – One to one chat	IT Services	Institutional business requirements	Completion of study or termination of contract + 30 days	No	Restricted	Stored in mailbox of each user in the chat.
K.04.04	MS Teams – Group chat	IT Services	Institutional business requirements	Lifetime of Office365 group	No	Restricted	Stored in mailbox of associated Office365 group
K.04.05	Homedrive data	IT Services	UK GDPR	Completion of study or termination of contract + 30 days	No	Restricted	Personal network drive
K.04.06	Office 365 back-ups with Rubrik	IT Services	Institutional business requirements	Last back-up + 6 months	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
K.04.07	<p>Personal data collected via Microsoft Intune for accessing organisational data from a personal device.</p> <p>Data collected includes device name, make, model, check-in time, operating system and serial number.</p>	IT Services	UK GDPR Institutional business requirements	<p>12 months.</p> <p>Information is retained for as long as you continue to use a personal device for work purposes and for 6 months following last use of that device.</p> <p>Audit logs are retained for up to one year for security purposes.</p>	No	Restricted	Further information is available in the Bring Your Own Device (BYOD) Policy .
K.05	Project management						
K.05.01	Records of major IT investment projects and programmes	IT Project Management Office	Institutional business requirements	Retain permanently	Yes	Restricted	Suitable for transfer to Archives
K.05.02	Documentation supporting project to service transition	IT Project Management Office	Institutional business requirements	Completion of project + 1 year	No	Restricted	
K.05.03	Routine documentation from internal projects	IT Project Management Office	Institutional business requirements	Completion of project + 1 year	No	Restricted	
K.05.04	Documentation and outputs from externally funded projects	IT Project Management Office	Institutional business requirements	Completion of project + 6 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
K.06	Supplier contract management						
K.06.01	Supply contracts and ensuing variations	IT Services	Limitation Act 1980	Termination of contract + 6 years	No	Restricted	
K.06.02	Supplier performance monitoring	IT Services	Institutional business requirements	Termination of contract + 6 years	No	Restricted	
K.07	IT risk management						
K.07.01	Strategic risk registers and assurance frameworks	IT Assurance	Institutional business requirements	Until superseded + 5 years	No	Restricted	
K.07.02	Working papers on identification, assessment and management of risks to the university	IT Assurance	Institutional business requirements	Until risk is no longer applicable + 3 years	No	Restricted	
K.07.03	Disaster response and recovery plans, including business continuity plans and major incident plans	IT Assurance	Institutional business requirements	Until superseded + 5 years	No	Restricted	
K.08	IT training						

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
K.08.01	Development and content of IT training and guidance programmes	IT Services	Institutional business requirements	Until superseded	No	Internal	

Records Retention Schedule

Section L: Libraries & Collections

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Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
L.01.01	Libraries & Collections policies and procedures	Libraries & Collections	Institutional business requirements	Permanent retention	Yes	External	Published on Policy Hub
L.01.02	Libraries & Collections strategies	Libraries & Collections	Institutional business requirements	Permanent retention	Yes	External	Published by Libraries & Collections
L.01.03	Libraries & Collections Senior Management Team – agendas, minutes and papers	Libraries & Collections	Institutional business requirements	7 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
L.01.04	Key performance indicators (KPIs) and monthly reports	Libraries & Collections	Institutional business requirements	7 years	No	Restricted	
L.01.05	Service level agreements and partnership agreements (including other institutions and NHS)	Libraries & Collections	Limitation Act 1980	Termination of agreement + 6 years	No	Restricted	
L.02	Library operations						
L.02.01	Contracts and agreements	Libraries & Collections	Limitation Act 1980	Termination of contract + 6 years	No	Restricted	
L.02.02	Routine enquiries or correspondence with library users	Libraries & Collections	UK GDPR	Resolution of enquiry + 18 months	No	Restricted	
L.02.03	Correspondence with library users regarding complaints or disciplinary matters	Libraries & Collections	UK GDPR	Resolution of issue + 6 years	No	Highly restricted	
L.02.04	Records of Inter-Library loans	Libraries & Collections	Limitation Act 1980	Return of item + 6 years	No	Restricted	British Library requirement
L.02.05	User loan records	Libraries & Collections	UK GDPR	Completion of study + 1 year	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
L.02.06	User accounts with no outstanding fines	Libraries & Collections	UK GDPR	Completion of study + 1 year	No	Restricted	
L.02.07	User accounts with outstanding fines	Libraries & Collections	UK GDPR	Retain until fines have been paid	No	Highly restricted	
L.02.08	Visitor logs – building access control systems	Estates & Facilities	UK GDPR	2 years	No	Restricted	
L.03	Library membership						
L.03.01	SCONUL access scheme members	Libraries & Collections	UK GDPR	Approval of application + 2 years	No	Restricted	
L.03.02	Visitors with borrowing rights	Libraries & Collections	UK GDPR	Approval of application + 2 years	No	Restricted	
L.03.03	Visitors with referenceonly rights	Libraries & Collections	UK GDPR	Approval of application + 2 years	No	Restricted	Includes use of e-resources
L.03.04	Alumni+ library membership	Libraries & Collections	UK GDPR	Expiry of subscription + 1 year	No	Restricted	
L.03.05	Library Fellows membership	Libraries & Collections	UK GDPR	Permanent retention	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
L.04	Library project management						
L.04.01	Major investment programmes	Libraries & Collections	Institutional business requirements	Permanent retention	Yes	Restricted	
L.04.02	Delivery and operational planning documentation from internal projects	Libraries & Collections	Institutional business requirements	Completion of project + 1 year	No	Restricted	Internal projects are any projects with no external partners or external funding.
L.04.03	Documentation and outputs from externally funded projects	Libraries & Collections	Limitation Act 1980	Completion of project + 6 years	No	External	
L.04.04	Project to service contracts and agreements	Libraries & Collections	Limitation Act 1980	Life of contract or agreement + 6 years	No	Restricted	
L.05	Library resources						
L.05.01	Books, journals and eresources	Libraries & Collections	Institutional business requirements	Until superseded, redundant or no longer subscribed	No	External	Further information is available in the Library Collection Development & Management Policy

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
L.05.02	PhD theses	Examinations Office Libraries & Collections	Institutional business requirements	Permanent retention	No	Internal	Historic bound copies are retained by Libraries & Collections and e-theses are made available via King's Research Portal
L.05.03	Research data held in King's Open Research Data System (KORDS)	Libraries & Collections	Research funder compliance and institutional requirements	Permanent retention	No	External	Further information on KORDS is available from Research Support
L.05.04	Research publications held in King's Research Portal (PURE)	Libraries & Collections	Research funder compliance and institutional requirements	Permanent retention	No	External	Further information is available on King's Research Portal
L.05.05	Photographs and images held in King's Image Library (CELUM)	Libraries & Collections	Institutional business requirements	Permanent retention	Yes	Restricted	Further information is available from Archives & Research Collections
L.06	Archives and Special Collections						

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
L.06.01	Selection criteria for institutional records	Archives & Research Collections Special Collections	Institutional business requirements	Permanent retention	Yes	External	
L.06.02	Acquisition and accession records	Archives & Research Collections Special Collections	UK GDPR	Permanent retention	Yes	Restricted	
L.06.03	Depositor and donor agreements	Archives & Research Collections Special Collections	UK GDPR	Permanent retention	Yes	Restricted	
L.06.04	Scheme of arrangement and standard descriptive model for archival collections	Archives & Research Collections Special Collections	Institutional business requirements	Permanent retention	Yes	External	
L.06.05	Catalogues, descriptions and summary guides	Archives & Research Collections Special Collections	Institutional business requirements	Permanent retention	Yes	External	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
L.06.06	User enquiries and responses	Archives & Research Collections Special Collections	UK GDPR	Personal data – 2 years Anonymous data – permanent retention	No	Internal	Key information from substantial research enquiries may be anonymised and retained permanently for reuse as required
L.06.07	Reader registrations	Archives & Research Collections Special Collections	UK GDPR	10 years	No	Restricted	
L.06.08	Document or item retrieval slips	Archives & Research Collections Special Collections	Institutional business requirements	Permanent retention	No	Restricted	Retained in case of item loss, damage or theft and for statistical purposes
L.06.09	Reprographics forms	Archives & Research Collections Special Collections	Limitation Act 1980	7 years	No	Restricted	
L.06.10	Photography forms	Archives & Research Collections Special Collections	Limitation Act 1980	7 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
L.06.11	Conservation records	Archives & Research Collections Special Collections	Institutional business requirements	Life of collection	Yes	Restricted	
L.06.12	Environmental monitoring records	Archives & Research Collections Special Collections	Institutional business requirements	7 years	No	Internal	Requirement of Archive Service Accreditation with The National Archives
L.06.13	Selection and use of material for exhibitions and outreach materials	Archives & Research Collections Special Collections	Institutional business requirements	5 years	No	Restricted	
L.06.14	Online exhibitions	Archives & Research Collections Special Collections	Institutional business requirements	Permanent retention	Yes	External	
L.06.15	Archives and Special collections publicity and promotional materials	Archives & Research Collections Special Collections	Institutional business requirements	Retain until superseded + 5 years	No	External	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
L.06.16	Disposal or deaccessioning of collections	Archives & Research Collections Special Collections	Institutional business requirements	Permanent retention	Yes	Restricted	
L.06.17	Loans of items to other institutions	Archives & Research Collections Special Collections	Limitation Act 1980	Return of item + 10 years	No	Restricted	
L.07	Objects and works of art						
L.07.01	Loan of objects or works of art to and from other institutions	Libraries & Collections Vice-Chancellor's Office	Institutional business requirements	Return of item + 10 years	Yes	Restricted	
L.07.02	Acquisition of objects or works of art for institutional collections	Libraries & Collections Vice-Chancellor's Office	Institutional business requirements	Permanent retention	Yes	Restricted	
L.07.03	Catalogue of objects and works of art	Libraries & Collections	Institutional business requirements	Permanent retention	Yes	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
L.07.04	Location of objects and works of art within university buildings	Libraries & Collections Vice-Chancellor's Office	Institutional business requirements	Permanent retention	Yes	Restricted	
L.07.05	Disposal or deaccessioning of objects and works of art	Libraries & Collections Vice-Chancellor's Office	Institutional business requirements	Permanent retention	Yes	Restricted	
L.08	Copyright						
L.08.01	Copyright licences	Libraries & Collections	Limitation Act 1980	Termination of licence + 6 years	No	Restricted	
L.08.02	Copyright declaration forms	Libraries & Collections	Institutional business requirements	7 years	No	Restricted	