

## Introduction

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## 1. Academic Services

College lead: Academic Services

	<b>Record Description</b>	<b>Responsibility</b>	<b>Legal Reference</b>	<b>Retention Rule</b>	<b>College Archive?</b>	<b>Classification</b>	<b>Notes</b>
	Academic governance						
1.1	Academic Board agendas, papers, minutes	Quality & Academic Support	Established under the College Charter		Yes	External though some records are restricted	Published on the College website as appropriate
1.2	College Education Committee agendas, papers, minutes	Quality & Academic Support			Yes	Restricted	Subcommittee of Academic Board
1.3	Faculty Education Committee agendas, papers, minutes	Faculties			Yes	Restricted	Reports to Academic Board
1.4	College Assessment & Standards Committee agendas, papers, minutes	Quality & Academic Support			Yes	Restricted	Subcommittee of Academic Board
1.5	Subcommittees of the College Assessment & Standards Committee agendas, papers, minutes	Quality & Academic Support	General Data Protection Regulation (GDPR)		Yes	Highly restricted	

1.6	Assessment Boards agendas, papers, minutes	Quality & Academic Support	General Data Protection Regulation (GDPR)		Yes	Highly restricted	Contains personal data
1.7	Academic Regulations	Students and Education			Yes	External	Published on <a href="#">Governance Zone</a>
1.8	Education Strategy	Students and Education			Yes	External	Published on <a href="#">Governance Zone</a>
<b>Programme reviews</b>							
1.9	Subject review self-assessment records including self-evaluation document, cover sheet and student handbook	Faculty/Department/Quality & Academic Support		7	No	External	Complete list of documents is available in <a href="#">Procedures for Programme and Module Monitoring and Review</a>
1.10	Subject review final reports	Quality & Academic Support			Yes	Restricted	
<b>Curriculum development</b>							
1.11	Curriculum design records including reports	Faculty/Department		10	Yes	Restricted	
1.12	Programme specifications	Quality & Academic Support		10	Yes	Restricted	

1.13	Module specifications	Quality & Academic Support		10	Yes	Restricted	
1.14	Monitoring and evaluation of existing curricula - report and key documents	Quality & Academic Support			Yes	Restricted	
1.15	AKC (Associate of King's College) programmes	Dean's Office			Yes	External	
<b>Programme development</b>							
1.16	Market intelligence for new programmes	External Relations			No	Restricted	
1.17	Enquiry forms	External Relations			No	Restricted	
1.18	Enquiry data	Schools			No	Restricted	
<b>External accreditation</b>							
1.19	Identification of accreditation requirements and records related to obtaining and maintaining accreditation	Faculty/ Students and Education		See Notes	No	Restricted	External accreditation of programmes is generally by professional regulatory bodies  Retain for as long as accreditation is valid + 7 years

Annual review of programmes and modules							
1.20	Staff module review reports	Departments		7	No	Restricted	
1.21	Student feedback forms	Departments			No	Highly restricted	
1.22	Programme and or reports review	Education Committee		7	No	Restricted	
Programme administration							
1.23	Programme and module timetables	Faculty / Department		See Notes	No	Internal	Retain for duration of programme or module
1.24	Class lists	Faculty / Department	General Data Protection Regulation (GDPR)	4	No	Restricted	
1.25	Tutorial lists	Faculty / Department	General Data Protection Regulation (GDPR)	4	No	Restricted	
1.26	Student attendance records	Faculty / Department	General Data Protection Regulation (GDPR)	4	No	Restricted	
1.27	Course assignment registers	Faculty / Department	General Data Protection Regulation	See Notes	No	Restricted	Retain for duration of programme or

			(GDPR)				module
1.28	Programme and module approval records	Faculty / Department		10	No	Restricted	As approved by Faculty Education Committees
1.29	Programme and module modification records	Faculty / Department		10	No	Restricted	As approved by Faculty Education Committees
1.30	Programme and module evaluation records	Faculty / Department		7	No	Restricted	
1.31	Programme and module handbooks	Faculty / Department			Yes	External	Retain until superseded and then transfer one copy to <a href="#">Archives Services</a>
<b>Student recruitment</b>							
1.32	Management and organisation of student recruitment campaigns and events	Marketing		5	No	Restricted	Current year + 5 years
1.33	Summaries and analysis of student enquiry and recruitment data	Marketing		5	No	Restricted	Current year + 5 years
1.34	Enquiries from prospective students	Marketing		1	No	Restricted	Current year + 1 year
<b>Unsuccessful applications and non-responders</b>							

1.35	Unsuccessful applications	Admissions Office	General Data Protection Regulation (GDPR)	6	No	Restricted	Current year + 6 years
1.36	No shows (Applicants who accepted offers but did not attend)	Admissions Office	General Data Protection Regulation (GDPR)	6	No	Restricted	Current year + 6 years
1.37	Non-responders (Applicants who were made offers but did not accept or decline)	Admissions Office	General Data Protection Regulation (GDPR)	6	No	Restricted	Current year + 6 years
1.38	Interview notes for unsuccessful applicants	Admissions Office / Faculty / Department	General Data Protection Regulation (GDPR)	See Notes	No	Restricted	Destroy 6 months after rejection notification
1.39	Complaints about admissions service	Admissions Office	General Data Protection Regulation (GDPR)	3	No	Restricted	Destroy 3 years after last action
1.40	Appeals against non-admission	Admissions Office	General Data Protection Regulation (GDPR)	6	No	Restricted	Destroy 6 years after last action
<b>Successful applications</b>							
1.41	Online application form and related documentation	Admissions Office	General Data Protection Regulation (GDPR)	See Notes	Yes	Restricted	Retain permanently as part of corporate student record

1.42	Interview notes for successful applicants	Admissions Office / Faculty / Department	General Data Protection Regulation (GDPR)	See Notes	Yes	Restricted	Retain until completion of study
1.43	Offer and acceptance of place and related correspondence	Registry Services / Faculty / Department	General Data Protection Regulation (GDPR)	See Notes	Yes	Restricted	Retain permanently as part of corporate student record
1.44	Supporting references	Registry Services / Faculty / Department	General Data Protection Regulation (GDPR)	See Notes	Yes	Restricted	Retain permanently as part of corporate student record
1.45	Student photograph	Registry Services / Faculty / Department		See Notes	Yes	Restricted	Retain permanently as part of corporate student record
1.46	Student ID number	Registry Services / Faculty / Department		See Notes	Yes	Restricted	Retain permanently as part of corporate student record
1.47	Plagiarism statement	Registry Services / Faculty / Department		See Notes	Yes	Restricted	Retain permanently as part of corporate student record
1.48	Details of criminal convictions	Registry Services / Faculty / Department	Rehabilitation of Offenders Act 1974  General Data Protection Regulation (GDPR)	See Notes	No	Highly restricted	Completion of study + 7 years, unless: <ul style="list-style-type: none"> <li>• Course relates to education, medicine, nursing or dentistry</li> <li>• the conviction is not spent</li> </ul>

1.49	Criminal Records Bureau (CRB) checks	Registry Services / Faculty / Department	General Data Protection Regulation (GDPR)	See Notes	No	Highly restricted	Completion of study + 3 months.  Student record should note that check has been satisfactorily or unsatisfactorily completed.
<b>Student induction</b>							
1.50	Review of induction programmes for new students	Faculty / Department		5	No	Internal	Life of programme + 5 years
1.51	Administration of programmes and events for new students	Faculty / Department		1	No	Internal	Current year + 1 year
<b>Student progression</b>							
1.52	Module registration forms	Registry Services / Faculty / Department	General Data Protection Regulation (GDPR)	See Notes	Yes	Restricted	Retain permanently as part of corporate student record
1.53	Change of course	Registry Services / Faculty / Department	General Data Protection Regulation (GDPR)	See Notes	Yes	Restricted	Retain permanently as part of corporate student record

1.54	Withdrawal or interruption of studies	Registry Services / Faculty / Department	General Data Protection Regulation (GDPR)	See Notes	Yes	Restricted	Retain permanently as part of corporate student record
1.55	Clinical assessments	Registry Services / Faculty / Department	General Data Protection Regulation (GDPR)	See Notes	Yes	Restricted	Retain permanently as part of corporate student record
1.56	Fitness to practice documentation	Registry Services / Faculty / Department	General Data Protection Regulation (GDPR)	See Notes	Yes	Restricted	Retain permanently as part of corporate student record
1.57	Student exchanges / study abroad	Registry Services / Faculty / Department	General Data Protection Regulation (GDPR)	See Notes	Yes	Restricted	Retain permanently as part of corporate student record
1.58	Medical exchanges and electives	Registry Services / Faculty / Department	General Data Protection Regulation (GDPR)	See Notes	Yes	Restricted	Retain permanently as part of corporate student record
1.59	Work placements	Registry Services / Faculty / Department	General Data Protection Regulation (GDPR)	1	No	Restricted	Completion of placement + 1 year
1.60	Transcript, including module results and final award	Registry Services / Faculty / Department	General Data Protection Regulation (GDPR)	See Notes	Yes	Restricted	Retain permanently as part of corporate student record
<b>Examination administration</b>							
1.61	Personalised Examination Provisions Committee: agendas, papers,	Examinations Office	General Data Protection Regulation (GDPR)		Yes	Highly restricted	Contains personal data

	minutes						
1.62	Personalised Examination Provisions Committee: application forms and supporting documentation	Examinations Office	General Data Protection Regulation (GDPR)		No	Highly restricted	Contains personal data
1.63	Design of examinations and assessments - examination papers	Examinations Office			Yes	Internal	
1.64	Selection of external examiners - nominations	Examinations Office	General Data Protection Regulation (GDPR)	3	No	Highly restricted	Contains personal data
1.65	Membership records	Examinations Office	General Data Protection Regulation (GDPR)		No	Highly restricted	Contains personal data
1.66	Assessment Sub-Boards recommendations and supporting documentation	Examinations Office			Yes	Highly restricted	
<b>Student assessment</b>							
1.67	Communication of assessment methods and standards to students, for example	Faculty /Department			Yes	External	

	student handbooks						
1.68	Registration form	Faculty /Department	General Data Protection Regulation (GDPR)		No	Restricted	Retain permanently as part of corporate student record
1.69	Candidate number	Examinations Office	General Data Protection Regulation (GDPR)		No	Restricted	Retain permanently as part of corporate student record
1.70	Examination attendance sheet	Examinations Office	General Data Protection Regulation (GDPR)	See Notes	No	Restricted	Completion of programme + 1 year
1.71	Examination mark sheet	Examinations Office	General Data Protection Regulation (GDPR)	See Notes	No	Restricted	Completion of programme + 1 year
1.72	Application for personalised examination arrangements	Examinations Office / Personalised Assessments Arrangements Committee	General Data Protection Regulation (GDPR)	See Notes	No	Restricted	Completion of programme + 1 year
1.73	Medical assessment for personalised arrangements	Examinations Office / Personalised Assessments Arrangements Committee	General Data Protection Regulation (GDPR)	See Notes	No	Restricted	Completion of programme + 1 year
1.74	Application to sit written examination overseas	Examinations Office / Personalised Assessments Arrangements Committee	General Data Protection Regulation (GDPR)	See Notes	No	Restricted	Completion of programme + 1 year
1.75	Request for resit or replacement examination	Examinations Office / Faculty / Department	General Data Protection Regulation	See Notes	Yes	Restricted	Retain permanently as part of corporate

			(GDPR)				student record
1.76	Extension request for assessed work	Faculty / Department	General Data Protection Regulation (GDPR)	See Notes	No	Restricted	Completion of programme + 1 year
1.77	Assessed work including assignments and dissertations	Faculty / Department	General Data Protection Regulation (GDPR)	See Notes	No	Restricted	Completion of programme + 1 year  Return to student on request or destroy
1.78	Mitigating circumstances forms	Faculty / Department	General Data Protection Regulation (GDPR)	See Notes	No	Highly restricted	Last action on case + 6 years
1.79	Examination scripts	Departments/ Examinations Office	General Data Protection Regulation (GDPR)	See Notes	No	Restricted	Completion of programme + 1 year  Contact the <a href="#">Records Management Service</a> for storage assistance
1.80	Examiners notes	Departments	General Data Protection Regulation (GDPR)	See Notes	No	Highly restricted	Completion of programme + 1 year
1.81	Examiners reports and responses	Quality & Academic Support	General Data Protection	See Notes	No	Highly restricted	Completion of programme + 1

			Regulation (GDPR)				year
1.82	Formal letter confirming student award	Examinations Office	General Data Protection Regulation (GDPR)	See Notes	No	Restricted	Completion of study + 1 year.  Copy passed to Faculty or Department for permanent retention on core student file
<b>Postgraduate research examinations</b>							
1.83	Examiners reports	Examinations Office	General Data Protection Regulation (GDPR)	See Notes	No	Highly restricted	Contains personal data
1.84	PhD theses	Examinations Office		See Notes	No	Internal, though some theses may be restricted, either for a period of years or indefinitely	Bound copies are retained by College libraries and e-theses are made available via <a href="#">King's Research Portal</a> and <a href="#">EThOS</a>
<b>Associate of King's College (AKC) awards</b>							
1.85	Results, certificates and diplomas	Dean's Office		See Notes	Yes	Restricted	Retain permanently as part of corporate student record

Conferment of student awards							
1.86	Pass lists	Examinations Office	General Data Protection Regulation (GDPR)		Yes	Restricted	Examination results available in SITS
1.87	Student profiles and module results	Examinations Office	General Data Protection Regulation (GDPR)		Yes	Highly restricted	Records that predate the SITS database are held by <a href="#">Archives Services</a>
1.88	Graduation list	Ceremonies & Events Team	General Data Protection Regulation (GDPR)	2	No	Internal	Graduation + 2 year  Data available in SITS
1.89	Graduation ceremonies programme	Ceremonies & Events Team	General Data Protection Regulation (GDPR)		Yes	Internal	
1.90	Prize book	Ceremonies & Events Team	General Data Protection Regulation (GDPR)		Yes	External	
1.91	Travel awards including final student report	Ceremonies & Events Team	General Data Protection Regulation (GDPR)	See Notes	Yes	Restricted	Retain for 1 year locally then transfer to <a href="#">Archives Services</a>
1.92	Transcript requests	Examinations Office		See Notes	No	Highly restricted	Retain indefinitely or until business or reference use has

							ceased
<b>Honorary awards</b>							
1.93	Fellowship and Honorary Degrees Committee records	Governance & Legal Services	General Data Protection Regulation (GDPR)	See Notes	Yes	Highly restricted	Retain for 7 years locally then transfer to <a href="#">Archives Services</a>
<b>Prize administration</b>							
1.94	Unsuccessful prize applications or nominations	Ceremonies & Events Team	General Data Protection Regulation (GDPR)	See Notes	No	Highly restricted	Destroy 1 year after application received
1.95	Successful prize applications or nominations	Ceremonies & Events Team	General Data Protection Regulation (GDPR)	See Notes	No	Highly restricted	Current year + 6 years
1.96	Formal letter confirming prize award	Ceremonies & Events Team	General Data Protection Regulation (GDPR)	See Notes	No	Highly restricted	Current year + 6 years.  Copy passed to Faculty Offices for addition to core student record
1.97	Copy of prize certificate	Ceremonies & Events Team		See Notes	No	Highly restricted	Current year + 6 years
1.98	Letter to prize donor confirming recipient	Ceremonies & Events Team		See Notes	No	Highly restricted	Current year + 6 years

Student administration							
1.99	Core student file Includes fee status, chosen programme of study, registration of modules, grades, results, prizes and awards	Registry Services (Arts & Sciences) <i>or</i> Faculty Office <i>or</i> Academic Centre (Health Faculties) <i>or</i> Student Support Centre (Nursing & Midwifery) <i>or</i> Education Support Team (IoPPN)	General Data Protection Regulation (GDPR)	See Notes	Yes	Restricted	Retain locally until completion of programme + 1 year  Transfer paper file to the <a href="#">Records Management Service</a> . Retain information on the SITS database  More detailed guidance is available in <a href="#">Guide to managing student records</a>
1.100	Departmental student file Includes information on student attendance and submission of coursework	Departments	General Data Protection Regulation (GDPR)	See Notes	Yes	Restricted	Retain locally until completion of programme + 1 year  Transfer paper file to the <a href="#">Records Management Service</a> . Retain information on the SITS database

							More detailed guidance is available in <a href="#">Guide to managing student records</a>
1.101	PGCE students - Criminal Records Bureau (CRB) checks	Admissions Office/Education and Professional Studies	General Data Protection Regulation (GDPR)	See Notes	No	Restricted	Retain until completion of programme + 3 months.  Student record should note that check has been satisfactorily or unsatisfactorily completed.
<b>Scholarship applications</b>							
1.102	Successful scholarship application form	Graduate School	General Data Protection Regulation (GDPR)	See Notes	No	Highly restricted	Current year + 6 years
1.103	Scholarship selection panel papers, i.e. student nomination, mark sheets, statements from Schools, etc	Graduate School	General Data Protection Regulation (GDPR)	See Notes	No	Highly restricted	Current year + 6 years
1.104	Final scholarship offer letter	Graduate School		See Notes	No	Highly restricted	Current year + 6 years

1.105	Unsuccessful scholarship applications	Graduate School	General Data Protection Regulation (GDPR)	See Notes	No	Highly restricted	Destroy 1 year after application received
<b>Scholarship funding</b>							
1.106	Student maintenance grant forms	Graduate School	General Data Protection Regulation (GDPR)	See Notes	No	Restricted	Completion of study + 7 years
1.107	Expense claims	Graduate School	General Data Protection Regulation (GDPR)	See Notes	No	Restricted	Completion of study + 7 years
1.108	Documentation relating to charges and fees	Graduate School		See Notes	No	Restricted	Completion of study + 7 years
1.109	Invoices to external bodies	Graduate School		2	No	Restricted	Retain locally for 2 years.  Original invoices to be retained by Finance for 7 years
<b>Student conduct and complaints</b>							
1.110	Student conduct and appeals case file	Student Conduct & Appeals Office	General Data Protection Regulation (GDPR)	See Notes	No	Highly restricted	Last action on case + 6 years

<i>1.111</i>	Formal complaints (Stage Two and Three) by students against the university	Student Conduct & Appeals Office	General Data Protection Regulation (GDPR)	See Notes	No	Highly restricted	Last action on case + 6 years
<i>1.112</i>	Informal complaints (Stage One) by students against the university	Student Conduct & Appeals Office	General Data Protection Regulation (GDPR)	See Notes	No	Highly restricted	Last action on complaint + 3 years

## 2. Services for Students

College lead: Services for Students

	Record Description	Responsibility	Legal Reference	Retention Rule	College Archive?	Classification	Notes
	Student Liaison						
2.1	Staff/student liaison bodies – meeting records	Departments		3	No	Restricted	
	Counselling Services						
2.2	Student case files	Counselling Services	General Data Protection Regulation (GDPR)	See Notes	No	Highly restricted	Last action on case + 6 years
2.3	Annual Report	Counselling Services			Yes	Internal	
2.4	Memoranda of association with international institutions/universities	Counselling Services		See Notes	No	Restricted	Retain while current + 2 years
	Health Centre						
2.5	Patient records	Health Centre	General Data Protection Regulation (GDPR)	See Notes	No	Highly restricted	These records are owned and managed by the NHS and not by King's

							Records retention is governed by <a href="#">NHS Records Management Code of Practice for Health and Social Care (2016)</a>
<b>Student Advice Service</b>							
2.6	Student case files	Student Services	General Data Protection Regulation (GDPR)	6	No	Highly restricted	
<b>Careers Service</b>							
2.7	Careers Service Strategic Plan	Careers Service		5	No	Restricted	
2.8	Careers Service Annual Report	Careers Service		5	Yes	Restricted	
2.9	Destination of Leavers from Higher Education survey	Careers Service		See Notes	No	Restricted	Collected by the Careers Service then returned to the Higher Education Statistics Agency (HESA) for ratification  Results of past surveys are

							published on the <a href="#">HESA website</a>
2.10	Records of interaction between the Careers Service and the University of London Careers Group including current contract	Careers Service			No	Restricted	
2.11	One-to-one career appointment records and discussion notes	Careers Service	General Data Protection Regulation (GDPR)	See Notes	No	Restricted	Handled via TargetConnect, the Careers Service Management System (CSMS).  Retain for graduation + 2 years
2.12	Event sign up and attendance records	Careers Service	General Data Protection Regulation (GDPR)	See Notes	No	Restricted	Handled via TargetConnect, the Careers Service Management System (CSMS).  Retain for graduation + 2 years
2.13	Practice aptitude test records	Careers Service	General Data Protection Regulation	1	No	Restricted	

			(GDPR)				
<b>Sportsgrounds</b>							
2.14	Hiring out of sportsgrounds	Sportsground Manager		7	No	Restricted	
2.15	Originals of plant/equipment inspection certificates	Sportsground Manager		See Notes	No	Restricted	Life of plant/equipment + 6 years
<b>Conference &amp; Timetabling Services (CATS)</b>							
2.16	Hiring out of conference facilities	CATS		7	No	Restricted	
2.17	Timetabling information	CATS		7	No	Internal	
2.18	Marketing information	CATS		2	No	Restricted	
<b>Accommodation and Residential Services</b>							
2.19	Residence registration forms	Residence Office		2	No	Restricted	
2.20	Student self assessment form and supporting documentation	Accommodation Services	General Data Protection Regulation (GDPR)	2	No	Highly restricted	Contains personal data

2.21	Accommodation allocation and occupancy lists	Accommodation Services/ Residence Office	General Data Protection Regulation (GDPR)	2	No	Restricted	Contains personal data
2.22	Fees and charges information Includes deposit details, invoice, swap forms etc	Accommodation Services/ Residence Office	General Data Protection Regulation (GDPR)	7	No	Highly restricted	Data held in the Residential Management System (RMS)
2.23	Student file - non confidential information	Residence Office	General Data Protection Regulation (GDPR)	See Notes	No	Restricted	Completion of programme + 1 year
2.24	Student file - confidential information Includes medical records and disciplinary information as relevant	Residence Office	General Data Protection Regulation (GDPR)	See Notes	No	Highly restricted	Completion of programme + 1 year
2.25	Student disciplinary, complaint or appeal information	Accommodation Services/Services for Students	General Data Protection Regulation (GDPR)	See Notes	No	Highly restricted	Completion of programme + 1 year
2.26	Records relating to student's guests or visitors	Residence Office	General Data Protection Regulation (GDPR)	See Notes	No	Restricted	Completion of programme + 1 year
2.27	Originals of buildings/maintenance inspection certificates	Residence Office		7	No	Restricted	
<b>Equality and Diversity</b>							

2.28	Equality and Diversity Statement	Diversity and Inclusion			Yes	External	Published on <a href="#">Governance Zone</a>
2.29	Disability Equality Scheme	Diversity and Inclusion	Disability Discrimination Act 1995		Yes	External	Published on <a href="#">Governance Zone</a>
2.30	Race Equality Scheme	Diversity and Inclusion	Race Relations Amendment Act 2000		Yes	External	Published on <a href="#">Governance Zone</a>
2.31	Gender Equality Scheme	Diversity and Inclusion	Sex Discrimination Act 1975		Yes	External	Published on <a href="#">Governance Zone</a>
2.32	Equality and diversity policies Includes Confidentiality Policy. Accessible Information Policy, Policy on Harassment, Bullying and Discrimination, Student Mental Health Policy and Policy on the Audio Recording of Lectures	Diversity and Inclusion			Yes	External	Published on <a href="#">Governance Zone</a>
2.33	Student case files	Diversity and Inclusion	General Data Protection Regulation (GDPR)		No	Highly restricted	Completion of study + 7 years
2.34	General enquiry forms, used for recording advice/support offered to students	Diversity and Inclusion		2	No	Highly restricted	

2.35	Equalities data monitoring forms (anonymous)	Diversity and Inclusion		1	No	Restricted	
<b>King's Experience Awards</b>							
2.36	Successful application for King's Experience Award	King's Experience Office	General Data Protection Regulation (GDPR)	See Notes	No	Restricted	Completion of study + 1 year
2.37	Unsuccessful application for King's Experience Award	King's Experience Office	General Data Protection Regulation (GDPR)	1	No	Restricted	Notification of outcome + 1 year
2.38	Assessment or submissions for King's Experience Award	King's Experience Office		See Notes	No	Restricted	Completion of study + 1 year
2.39	Notification of King's Experience Award outcome	King's Experience Office			No	Restricted	Retain permanently on SITS and as part of HEAR
2.40	Student Opportunity Fund report and receipts	King's Experience Office	General Data Protection Regulation (GDPR)	7	No	Restricted	Current financial year + 6 years
<b>Personal Tutors</b>							
2.41	Student and tutor meeting notes	Personal tutors	General Data Protection Regulation	See Notes	No	Restricted	Completion of study + 2 years

			(GDPR)				
2.42	Student references	Personal tutors	General Data Protection Regulation (GDPR)	See Notes	No	Restricted	Retain one master copy for reuse as required
<b>Student Enquiry Management</b>							
2.43	Enquiries from prospective students	Student Services	General Data Protection Regulation (GDPR)	Resolution of enquiry + 18 months	No	Restricted	Data held in enquiry management system
2.44	Enquiries from current students	Student Services	General Data Protection Regulation (GDPR)	Completion of study + 18 months	No	Restricted	Data held in enquiry management system
2.45	Enquiries from former students	Student Services	General Data Protection Regulation (GDPR)	Resolution of enquiry + 18 months	No	Restricted	Data held in enquiry management system
2.46	Enquiries from third parties	Student Services	General Data Protection Regulation (GDPR)	Resolution of enquiry + 18 months	No	Restricted	Data held in enquiry management system

### 3. Research

College Lead: Academic Services

	<b>Record Description</b>	<b>Responsibility</b>	<b>Legal Reference</b>	<b>Retention Rule</b>	<b>College Archive?</b>	<b>Classification</b>	<b>Notes</b>
	Research strategy development						
3.1	College Research Committee agendas, papers, minutes	Research Management and Innovation			Yes	Restricted	Subcommittee of Academic Board
3.2	College Research Committee correspondence and consultations	Research Management and Innovation			No	Restricted	
3.3	Graduate School Forum agendas, papers, minutes	Graduate School			No	Restricted	
3.4	Postgraduate Research Students Committee agendas, minutes and papers	Graduate School			No	Restricted	
3.5	Postgraduate Research Processes Group	Graduate School		See Notes	No	Restricted	Retain master copies of procedures relating to research until superseded + 10

							years
3.6	Research Strategy	Research Management and Innovation			Yes	External	Published on <a href="#">Governance Zone</a>
<b>Research policy development</b>							
3.7	Key records relating to the development and establishment of College research policies	Research Management and Innovation		See Notes	Yes	Restricted	Retain until superseded + 10 years
3.8	Working documents relating to the development and establishment of College research policies	Research Management and Innovation		1	No	Restricted	Publication of policy + 1 year
<b>Research quality management</b>							
3.9	College quality assurance processes	Research Management and Innovation		See Notes	No	Restricted	Retain while current
3.10	Conduct and results of formal internal reviews of research quality, and responses to results	Research Management and Innovation		See Notes	No	Restricted	Current academic year + 5 years
3.11	Conduct and results of external reviews and audits of research quality	Research Management and Innovation		See Notes	No	Restricted	Current academic year + 5 years

	and standards						
<b>Research performance management</b>							
3.12	Lists and summaries of grants	Award Management			No	Restricted	Circulated to College senior management
3.13	Annual reports on activities of research students	Centre for Doctoral Studies		See Notes	Yes	Restricted	Retain locally for 1 year then transfer to <a href="#">Archives Services</a>
3.14	Statistics of successful funding applications	Research Management and Innovation			No	External	Retain permanently
<b>Research Excellence Framework (REF) policy and management</b>							
3.15	Final submissions/ unit of assessment submissions	Research Management and Innovation / Faculties		See Notes	Yes	Restricted until final submission	Transfer copy to <a href="#">Archives Services</a> on creation  Faculty copy retained locally for 10 years  A selection of final submissions are published internally after around 18 months

3.16	Internal REF papers, including processes and preparations for submission	Research Management and Innovation		5	No	Restricted	Final submission + 5 years
3.17	External REF papers, including consultations and correspondence with Research Councils	Research Management and Innovation		5	No	Restricted	Final submission + 5 years
3.18	REF Steering Group agendas, minutes and papers	Research Management and Innovation		5	No	Restricted	
<b>Research business management</b>							
3.19	Liaison with research sponsors, including monitoring of their policies and promotion of College capabilities	Research Management and Innovation		See Notes	No	Restricted	Current academic year + 5 years
3.20	Records documenting the formation and management of research partnerships and collaborations	Research Management and Innovation	Limitations Act 1980	See Notes	No	Restricted	Life of partnership or collaboration + 6 years
3.21	Research project proposal files	Research Management and Innovation		1	No	Restricted	Includes correspondence with academics, patent agents and licensing agencies

<b>Pre-award Administration</b>							
3.22	Monitoring and promotion of research funding opportunities, i.e. bulletins, calls for proposals, etc.	Research Development and Pre-Award Team		1	No	Restricted	Retain while current
3.23	Register of academic staff and research interests	Research Development and Pre-Award Team		See Notes	No	Restricted	Retain while current
3.24	Successful grant applications, including CV, references, RGA form, letters of support, costings, etc.	Research Development and Pre-Award Team	General Data Protection Regulation (GDPR)	See Notes	No	Restricted	Passed to Award Management for management of active research contract
3.25	Unsuccessful grant application	Research Development and Pre-Award Team	General Data Protection Regulation (GDPR)	1	No	Restricted	Notification + 1 year
<b>Post-award administration</b>							
3.26	Project planning and monitoring files	Award Management Team	General Data Protection Regulation (GDPR)	See Notes	No	Restricted	End of project + 6 years  Project files routinely include RG1 forms, notification of awards, contracts, project cards,

							copy invoices and correspondence
<b>Research Ethics</b>							
3.27	College Research Ethics Committee (CREC) committee agendas, papers, minutes	Research Ethics Office	General Data Protection Regulation (GDPR)		Yes	Restricted	
3.28	Research ethics subcommittees (RESCs) agendas, papers, minutes	Research Ethics Office	General Data Protection Regulation (GDPR)		Yes	Restricted	
3.29	CREC and RESC membership documents including application forms, confirmation letters and contact details	Research Ethics Office	General Data Protection Regulation (GDPR)	See Notes	No	Restricted	Duration of membership + 6 months
3.30	CREC and RESC unsuccessful applications for membership	Research Ethics Office	General Data Protection Regulation (GDPR)	6 months	No	Restricted	
<b>Applications for ethical approval</b>							
3.31	Applications to the College Research Ethics Committee (CREC) and to the following Research Ethics sub committees: <ul style="list-style-type: none"> <li>Psychiatry, Nursing</li> </ul>	Research Ethics Office	General Data Protection Regulation (GDPR)	See Notes	Yes	Highly restricted	End of academic year + 14 years  Retain for 1 year after lapsing locally then

	<ul style="list-style-type: none"> <li>and Midwifery</li> <li>• Biomedical Sciences, Dentistry, Medicine and Natural &amp; Mathematical Sciences</li> <li>• Social Science &amp; Public Policy, Arts &amp; Humanities, Law, KLI</li> </ul>						transfer to <a href="#">Corporate Records Management</a> for 13 years
3.32	Minimal ethical risk applications (via <a href="#">REMAS</a> )	Research Ethics Office	General Data Protection Regulation (GDPR)	See Notes	No	Highly restricted	Completion of study + 1 year
3.33	Low ethical risk applications to Research Ethics Panels	Research Ethics Office	General Data Protection Regulation (GDPR)	See Notes	No	Highly restricted	Completion of study + 3 years
3.34	Applications to NHS Research Ethics Committees	Principal Investigator	General Data Protection Regulation (GDPR)	See Notes			Conclusion of study + 3 years
<b>Research data</b>							
3.35	Research data – paper and digital	Principal Investigator	General Data Protection Regulation (GDPR)	See Notes	No In exceptional circumstances data with permanent historical value may be selected for transfer to		Retention times vary. Funded research should be retained in line with requirements of research sponsor.  See guidance from

					<a href="#">Archives Services</a>		<a href="#">Library Services</a> or contact <a href="#">Corporate Records Management</a> to obtain study specific advice.
3.36	Unfunded research projects – minimal risk	Principal Investigator	General Data Protection Regulation (GDPR)	See Notes	No	Highly restricted	Completion of study + 1 year
3.37	Unfunded research projects – low risk	Principal Investigator	General Data Protection Regulation (GDPR)	See Notes	No	Highly restricted	Completion of study + 4 years
3.38	Unfunded research projects – high risk	Principal Investigator	General Data Protection Regulation (GDPR)	See Notes	No	Highly restricted	Completion of study + 7 years
<b>Clinical trials</b>							
3.39	Health research – clinical trials data	KHP Clinical Trials Office	Medicines for Human Use (Clinical Trial) Regulations 2004 Human Tissue Act 2004 Human Fertilisation and Embryology Act 1990	See Notes	No	Highly restricted	Data in paper form may be stored externally under the direction of the <a href="#">KHP Clinical Trials Office</a> along with protocols, patient information sheets, consent forms and case record forms

							as required
3.40	Primary medical research data	Principal Investigator	Medical Research Council	See Notes	Yes	Highly restricted	Completion of project + 10 years
3.41	Data relating to clinical or public health studies	Principal Investigator	Medical Research Council	See Notes	Yes	Highly restricted	Completion of project + 20 years
3.42	Clinical trials standard operating procedures (SOPs)	KHP Clinical Trials Office	Medicines for Human Use (Clinical Trial) Regulations 2004		Yes	Highly restricted	
3.43	Locally approved clinical protocols	Departments			No	Highly restricted	
<b>Research misconduct</b>							
3.44	Case files on the investigation and resolution of allegations of research misconduct	Research Policy and Ethics	General Data Protection Regulation (GDPR)	See Notes	No	Highly restricted	Last action on case + 6 years

## 4. Corporate Management

College Lead: Office of the Chairman and College Secretariat

	<b>Record Description</b>	<b>Responsibility</b>	<b>Legal Reference</b>	<b>Retention Rule</b>	<b>College Archive?</b>	<b>Classification</b>	<b>Notes</b>
4.1	College Council agendas, papers, minutes	Office of the Chairman and College Secretariat	Established under the College Charter Many College Council records are published proactively under the Freedom of Information Act 2000		Yes	External though some records are restricted	Published on the College website as appropriate
4.2	Charter and Statutes, Ordinances and Regulations	Office of the Chairman and College Secretariat			Yes	External	Published on <a href="#">Governance Zone</a>
4.3	Definition of the institution's overall strategic goals and objectives and associated plans – includes strategic plan, corporate plan and mission statement	Principal and President  Office of the Chairman and College Secretariat			Yes	Internal	

4.4	Reporting on performance to funding councils, government departments and other relevant bodies	Office of the Chairman and College Secretariat		3	Yes	Restricted	
<b>Information compliance</b>							
4.5	Statutory access requests	Information Compliance	Freedom of Information Act 2000  General Data Protection Regulation (GDPR)	2	No	Restricted	Closure of request + 2 years
4.6	Data requests by police (and responses provided) where information is held	Information Compliance	General Data Protection Regulation (GDPR)	3	No	Restricted	Closure of request + 3 years
4.7	Data requests by police (and responses provided) where information is not held	Information Compliance		1	No	Restricted	Closure of request + 1 year
4.8	Precedent case files	Information Compliance			No	Restricted	
4.9	Compliance audit records	Information Compliance			No	Restricted	Retain until completion of subsequent audit

## 5. The Principal and Vice Principals

College Lead: College Principal

	Record Description	Responsibility	Legal Reference	Retention Rule	College Archive?	Classification	Notes
	External relationships and external affairs						
5.1	Management of relationships with HEFCE and other Government bodies, including correspondence and circulars	Principal's Office		See Notes	Yes	Restricted	Retain while current + 5 years locally then transfer to <a href="#">Archives Services</a>
5.2	Interaction with Universities UK (UUK) including correspondence and circulars	Principal's Office		See Notes	Yes	Restricted	Retain while current + 5 years locally then transfer to <a href="#">Archives Services</a>
5.3	Management of relationships with the Schools of Advanced Study and the University of London	Principal's Office		See Notes	Yes	Restricted	Retain while current + 5 years locally then transfer to <a href="#">Archives Services</a>
5.4	University of London Council and Collegiate Council agendas, papers, minutes	Principal's Office		See Notes	Yes	Restricted	Retain while current + 5 years locally then transfer to <a href="#">Archives Services</a>

5.5	Memoranda of Understanding between King's and overseas universities and the International Recruitment Strategy	Vice President and Vice-Principal (International)		See Notes	Yes	Highly Restricted	Retain while current + 5 years locally then transfer to <a href="#">Archives Services</a>
<b>Administration</b>							
5.6	College Committee papers	Principal's Office		See Notes	Yes	Restricted	Retain while current + 5 years locally then transfer to <a href="#">Archives Services</a>
5.7	Senior Management Team (SMT) papers	Principal's Office		See Notes	Yes	Restricted	Retain while current + 5 years locally then transfer to <a href="#">Archives Services</a>
5.8	Principal's correspondence with schools and departments	Principal's Office		See Notes	Yes	Restricted	Retain while current + 5 years locally then transfer to <a href="#">Archives Services</a>
5.9	Visitor of the College files	Principal's Office		See Notes	Yes	Restricted	Retain while current + 5 years locally then transfer to <a href="#">Archives Services</a>

5.10	Principal's Fora presentations	Principal's Office		See Notes	Yes	Internal	Retain for 2 years locally then transfer to <a href="#">Archives Services</a>
5.11	Files concerning major College developments such as Somerset House negotiations and establishing King's Health Partners	Senior Vice President (Operations)		See Notes	Yes	Highly Restricted	Retain while current + 5 years locally then transfer to <a href="#">Archives Services</a>
<b>Art works, artefacts and historic scientific equipment</b>							
5.12	Original art work for the College Coat of Arms	Principal's Office		See Notes	Yes	Restricted	Retain while current then transfer to <a href="#">Archives Services</a>
5.13	Agreements, correspondence and general documentation relating to College art works	Principal's Office		See Notes	Yes	Restricted	Retain while current then transfer to <a href="#">Archives Services</a>
5.14	Arrangements between the College and external bodies relating to the loan of artworks, artefacts and historic scientific equipment	Principal's Office/College Archives		10	Yes	Restricted	Duration of the loan +10 years

## 6. Finance

College Lead: Finance and Planning

	<b>Record Description</b>	<b>Responsibility</b>	<b>Legal Reference</b>	<b>Retention Rule</b>	<b>College Archive?</b>	<b>Classification</b>	<b>Notes</b>
6.1	Finance Committee agendas, papers, minutes	Finance and Planning			Yes	Restricted	Subcommittee of College Council
6.2	Financial Regulations	Finance and Planning			No	External	Published on <a href="#">Governance Zone</a>
<b>Planning</b>							
6.3	Financial forecasts	Finance and Planning		2	No	Restricted	
6.4	Capital and revenue budgets	Finance and Planning		2	No	Restricted	
<b>Pension scheme administration</b>							
6.5	Personal pension records	Finance and Planning	General Data Protection Regulation (GDPR)	See Notes	No	Highly restricted	Termination of employment/retirement + 6 years
<b>Purchasing</b>							
6.6	Authorisation of purchasing – purchasing requisitions	Departments		7	No	Restricted	

6.7	Placing of orders – purchase orders	Departments		7	No	Restricted	
6.8	Taking delivery of goods – delivery notes	Departments		4	No	Restricted	Completion of internal audit + 3 years
<b>Payroll administration</b>							
6.9	Processing of non-statutory deductions from salaries – deduction authorities, tax code notices	Finance and Planning	Limitation Act 1980 General Data Protection Regulation (GDPR)	7	No	Restricted	Contains personal data
6.10	Payroll payments – salary advices, bank transfer reports	Finance and Planning	Limitation Act 1980 Income Tax (Employment) Regulations 1993 General Data Protection Regulation (GDPR)	7	No	Restricted	Contains personal data
6.11	Notifying staff of their employment related tax liabilities – P11d	Finance and Planning	Limitation Act 1980 General Data Protection Regulation (GDPR)	7	No	Restricted	Contains personal data

Financial accounting							
6.12	Sales invoices	Finance and Planning	Value Added Tax Act 1994 Limitation Act 1980	7	No	Restricted	
6.13	Credit notes	Finance and Planning	Value Added Tax Act 1994 Limitation Act 1980	7	No	Restricted	
6.14	Till rolls	Departments	Value Added Tax Act 1994 Limitation Act 1980	7	No	Restricted	
6.15	Remittance advises	Departments	Value Added Tax Act 1994 Limitation Act 1980	7	No	Restricted	
6.16	Annual accounts working papers	Departments	Value Added Tax Act 1994 Limitation Act 1980	11	No	Restricted	
6.17	Original annual accounts signed copies	Finance and Planning			No	Restricted	
6.18	Higher Education Statistics Agency (HESA) returns	Finance and Planning		11	No	Restricted	

Accounting for expenditure							
6.19	Original purchase invoices	Finance and Planning	Value Added Tax Act 1994 Limitation Act 1980	7	No	Restricted	
6.20	Original credit notes	Finance and Planning	Value Added Tax Act 1994; Limitation Act 1980	7	No	Restricted	
6.21	BACS reports	Finance and Planning	Value Added Tax Act 1994; Limitation Act 1980	7	No	Restricted	
6.22	Original staff expense claims	Finance and Planning	Value Added Tax Act 1994; Limitation Act 1980	7	No	Restricted	
6.23	Original petty cash claims	Finance and Planning	Value Added Tax Act 1994; Limitation Act 1980	7	No	Restricted	
6.24	Journal vouchers	Finance and Planning	Value Added Tax Act 1994; Limitation Act 1980	7	No	Restricted	

Investment management							
6.25	Investment Subcommittee agendas, papers, minutes	Finance and Planning		7	No	Restricted	Subcommittee of Finance Committee
6.26	Acquisition and disposal of investments	Finance and Planning		7	No	Restricted	
6.27	Investment instructions	Finance and Planning	Limitation Act 1980	7	No	Restricted	
6.28	Crest share certificates	Investment Managers	Limitation Act 1980	7	No	Restricted	
Budget administration							
6.29	Monitoring of actual against planned expenditure	Finance and Planning		2	No	Restricted	
6.30	Budget reports	Finance and Planning		2	No	Restricted	
Capital asset management							
6.31	Records of items over £10,000	Departments		7	No	Restricted	
6.32	Other items	Departments		See Notes	No	Restricted	Disposal of asset + 1 year

Tax management							
6.33	Assessment of tax liabilities	Finance and Planning	Value Added Tax Act 1994	7	No	Restricted	
6.34	VAT return	Finance and Planning	Value Added Tax Act 1994	7	No	Restricted	
6.35	Corporation tax returns and assessments	Finance and Planning	Value Added Tax Act 1994	7	No	Restricted	
6.36	Other tax returns	Finance and Planning	Value Added Tax Act 1994	7	No	Restricted	
Insurance							
6.37	Files for special purposes, for example flooding	Finance and Planning			No	Restricted	
6.38	Insurance policies	Finance and Planning	Limitation Act 1980	See Notes	No	Restricted	Expiry of insurance + 7 years
6.39	Insurance claims	Finance and Planning	Limitation Act 1980	See Notes	No	Restricted	Settlement of claim + 6 years
6.40	Insurance reports	Finance and Planning	Limitation Act 1980	See Notes	No	Restricted	Settlement of claim + 6 years

6.41	Certificate of employers liability insurance	Finance and Planning	The Employers' Liability (Compulsory Insurance) (Amendment) Regulations 2008	See Notes	No	Restricted	Expiry of insurance + 40 years
<b>Student finance</b>							
6.42	King's Hardship Fund application and correspondence	Student Funding Office	Value Added Tax Act 1994; General Data Protection Regulation (GDPR)	See Notes	No	Restricted	Completion of study + 7 years
6.43	Bursaries and scholarship applications	Student Funding Office	Value Added Tax Act 1994; General Data Protection Regulation (GDPR)	See Notes	No	Restricted	Completion of study + 7 years
6.44	Bursaries and scholarships maintenance grant requests	Student Funding Office	Value Added Tax Act 1994; General Data Protection Regulation (GDPR)	See Notes	No	Restricted	Completion of study + 7 years
6.45	Grant cheques	Finance and Planning	Value Added Tax Act 1994	See Notes	No	Restricted	Completion of study + 7 years
6.46	Council tax exemption certificate	Student Funding Office	Value Added Tax Act 1994	See Notes	No	Restricted	Completion of study + 7 years

6.47	Fee debtors list	Finance and Planning	Value Added Tax Act 1994; General Data Protection Regulation (GDPR)	See Notes	No	Highly restricted	Completion of study + 7 years
6.48	Disability allowance	Student Funding Office	Value Added Tax Act 1994; General Data Protection Regulation (GDPR)	See Notes	No	Restricted	Completion of study + 7 years
6.49	Student bank details (Refunds)	Finance and Planning	General Data Protection Regulation (GDPR)	See Notes	No	Restricted	Last update in SITS + one year
6.50	Student sponsorship funding records (SITS)	Finance and Planning	General Data Protection Regulation (GDPR)	See Notes	No	Restricted	Completion of study + 7 years
<b>Tuition fees</b>							
6.51	College policy on establishment of tuition fees	Students and Education		See Notes	Yes	External	Retain until superseded + 10 years
6.52	Procedures relating to tuition fee administration	Students and Education		See Notes	Yes	Internal	Retain until superseded + 10 years
6.53	Collection of tuition fees	Finance and Planning	General Data Protection Regulation (GDPR)	See Notes	No	Restricted	Current year + 1 year

6.54	Receipt and processing of tuition fees	Finance and Planning	General Data Protection Regulation (GDPR)	See Notes	No	Restricted	Completion of study + 7 years
6.55	Successful applications for remission of tuition fees	Finance and Planning	General Data Protection Regulation (GDPR)	See Notes	No	Restricted	Outcome of application + 6 years
6.56	Unsuccessful applications for remission of tuition fees	Finance and Planning	General Data Protection Regulation (GDPR)	See Notes	No	Restricted	Outcome of application + 1 year
6.57	Suspension for non-payment of tuition fees	Students and Education	General Data Protection Regulation (GDPR)	See Notes	No	Restricted	Completion of study + 7 years
6.58	Appeals against suspension for non-payment of tuition fees	Students and Education	General Data Protection Regulation (GDPR)	See Notes	No	Restricted	Last action on record + 7 years

<b>7. Audit</b>
College Lead: Internal Audit

	Record Description	Responsibility	Legal Reference	Retention Rule	College Archive?	Classification	Notes
7.1	Audit, Risk and Compliance Committee agendas, papers, minutes	Internal Audit			Yes	Restricted	Subcommittee of College Council
7.2	Internal Audit reports	Internal Audit		6	No	Restricted	

## 8. Purchasing

College Lead: Procurement Strategy & Services

	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
8.1	Purchasing Regulations	Procurement Strategy & Services			Yes	Restricted	
8.2	Purchasing annual report	Procurement Strategy & Services			Yes	Restricted	
<b>Processes and procedures</b>							
8.3	Quotations – successful	Procurement Strategy & Services		See Notes	No	Restricted	Award of contract + 15 months
8.4	Quotations – unsuccessful	Procurement Strategy & Services		See Notes	No	Restricted	Award of contract + 3 months
8.5	Tender documents – successful tenders	Procurement Strategy & Services	Limitation Act 1980	See Notes	No	Restricted	Completion of contract + 6 years for simple contracts or for +12 years for contracts executed as deeds
8.6	Tender documents – unsuccessful tenders	Procurement Strategy & Services		2	No	Restricted	
8.7	Contract specification	Procurement Strategy & Services	Limitation Act 1980	See Notes	No	Restricted	Completion of contract + 6 years

8.8	Contract amendments	Procurement Strategy & Services	Limitation Act 1980	See Notes	No	Restricted	Completion of contract + 6 years
8.9	Purchase orders – retained in the College electronic Procurement (KCeP) system	Procurement Strategy & Services		7	No	Restricted	
8.10	Purchase orders – placed directly with supplier	Procurement Strategy & Services		7	No	Restricted	
8.11	Supplier invoices and credit notes	Procurement Strategy & Services		7	No	Restricted	
8.12	Supplier delivery notes	Within local departments		2	No	Restricted	
8.13	Register of contracts	Procurement Strategy & Services		See Notes	No	Restricted	Retain while current
8.14	Pre-qualification and supplementary questionnaires and results	Procurement Strategy & Services		3	No	Restricted	
8.15	Standard terms and conditions of purchase	Procurement Strategy & Services			Yes	External	
8.16	Supplier accessible web information	Procurement Strategy & Services		See Notes	No	Internal	Retain until information is updated

## 9. Health, Safety and Environmental Protection

College Lead: Health and Safety Services

	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
	Risk Assessment						
9.1	Risk assessments and supporting documentation	Departments	Management of Health and Safety at Work Regulations 1999	See Notes	No	Internal	Review of assessment + 3 years Risk assessments include display screen equipment, handling of COSHH materials and GMOs Supporting documentation may include material safety data sheets, standard operating procedures, local safety protocols and COSHH data sheets
9.2	Fire risk assessments	Estates and Facilities/ Health and Safety Services	Regulatory Reform (Fire Safety) Order 2006	See Notes	No	Restricted	Retain while current + 10 years
9.3	Fire certificates	Health and Safety		See Notes	No	Restricted	Retain

		Services					permanently
9.4	Health surveillance records	Health and Safety Services / Departments	Control of Substances Hazardous to Health Regulations 2002	See Notes	No	Highly restricted	Retain while current + 10 years
9.5	Asbestos register	Estates and Facilities	Control of Asbestos at Work Regulations 2002	See Notes	No	Restricted	Retain permanently
9.6	Legionella register	Estates and Facilities	Control of Substances Hazardous to Health Regulations 2002	See Notes	No	Restricted	Retain permanently
9.7	Permits to work	Estates and Facilities/ Departments	Management of Health and Safety at Work Regulations 1999	See Notes	No	Internal	Retain while current + 3 years
<b>Accidents and dangerous occurrences</b>							
9.8	Online accident reporting	Health and Safety Services / Departments	Management of Health and Safety at Work Regulations 1999 Limitation Act 1980 Reporting of Injuries, Diseases and Dangerous	See Notes	No	Restricted	Retain for 3 years locally then transfer to Health and Safety Services for a further 10 years

			Occurrences Regulations 1995				
9.9	F2508 form for reportable accidents and dangerous occurrences	Health and Safety Services	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995	40	No	Restricted	
9.10	F2508a form for reportable diseases	Health and Safety Services	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995	40	No	Highly restricted	
9.11	Accident investigations	Health and Safety Services / Departments	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995	40	No	Restricted	
9.12	Records of tests under the COSHH Regulations	Estates and Facilities/ Departments	Control of Substances Hazardous to Health Regulations 2002	5	No	Restricted	
<p><b>Legal Notifications – authorisation, registrations and annual returns</b></p>							
<p><b>Environment Agency</b></p>							

9.13	Authorisations and registrations for radioactive material	Health and Safety Services	Radioactive Substances Act 1993 High Activity Sealed Radioactive Sources and Orphan Sources Regulations 2005 (HASS)	See Notes	No	Highly restricted	Duration of authority + 10 years
<b>Health and Safety Executive (HSE)</b>							
9.14	GMO notification Includes HSE form CU2 <i>Notification of intention to conduct individual contained use activities involving genetic modification</i>	Health and Safety Services / Departments	Genetically Modified Organisms (Contained Use) Regulations 2000	See Notes	No	Restricted	Duration of notification + 10 years
9.15	Containment level 3 pathogens	Health and Safety Services / Departments	Management of Health and Safety at Work Regulations 1999	See Notes	No	Restricted	Duration of authority + 10 years
9.16	F10 form for new building projects	Estates and Facilities	Construction Design and Management Regulations 2007	See Notes	No	Restricted	Duration of building project + 3 years
9.17	Asbestos removal	Estates and Facilities	Control of Asbestos Regulations 2006	See Notes	No	Restricted	Duration of building project + 3 years

	<b>Home Office</b>						
9.18	Annual declaration of storage and use of chemicals listed under the Chemical Weapons Convention	Health and Safety Services	Chemical Weapons Act 1996	10	No	Restricted	
9.19	Register and notification of dangerous pathogens and toxins	Health and Safety Services	Anti-Terrorism Crime and Security Act 2001	10	No	Restricted	
9.20	Notification and licence to allow use of explosive materials	Departments	Manufacture and Storage of Explosives Regulations 2005	See Notes	No	Restricted	Duration of licence + 10 years
9.21	Notification of holdings of substances for use as drug precursors	Health and Safety Services	Misuse of Drugs Act 2001	See Notes	No	Restricted	Duration of notification + 10 years
9.22	Notification and licence for storage and use of controlled drugs	Departments	Misuse of Drugs Act 2001	See Notes	No	Restricted	Duration of licence + 10 years

## 10. Estates and Facilities

College Lead: Estates and Facilities

	<b>Record Description</b>	<b>Responsibility</b>	<b>Legal Reference</b>	<b>Retention Rule</b>	<b>Archive</b>	<b>Classification</b>	<b>Notes</b>
10.1	Estates Strategy Committee agendas, papers, minutes	Estates and Facilities			Yes	Restricted	Subcommittee of College Council
10.2	Real Estate Operations Board	Estates and Facilities			No	Restricted	
10.3	Estates and Facilities policy documents	Estates and Facilities		See Notes	No	Restricted	Retain until superseded + 10 years
10.4	Estates and Facilities strategy documents	Estates and Facilities		See Notes	No	Restricted	Retain until superseded + 10 years
	<b>Inspections</b>						
10.5	Disability inspection records	Estates and Facilities			No	Restricted	
10.6	Routine property inspections	Estates and Facilities		See Notes	No	Restricted	Date of inspection + 5 years
10.7	Routine facilities inspections	Estates and Facilities		See Notes	No	Restricted	Completion of two subsequent inspections

10.8	Inspection of facilities by enforcing authorities	Estates and Facilities		See Notes	No	Restricted	Completion of subsequent inspection
<b>Tenders</b>							
10.9	Tender documents – successful tenders	Estates and Facilities	Limitation Act 1980	See Notes	No	Restricted	Completion of contract+ 6 years for simple contracts or for +12 years for contracts executed as deeds
10.10	Tender documents – unsuccessful tenders	Estates and Facilities		2	No	Restricted	
<b>Suppliers</b>							
10.11	Register of approved suppliers	Estates and Facilities	Consumer Protection Act 1987	See Notes	No	Restricted	Retain while current
10.12	Identification and vetting of potential suppliers	Estates and Facilities		5	No	Restricted	
10.13	Supplier evaluation reports	Estates and Facilities		5	No	Restricted	
10.14	Requests for proposals – successful	Estates and Facilities	Limitation Act 1980	See Notes	No	Restricted	Termination of supply contract + 6 years

10.15	Requests for proposals – unsuccessful	Estates and Facilities		2	No	Restricted	
10.16	Management of supplier relationships	Estates and Facilities		See Notes	No	Restricted	Termination of relationship + 2 years
10.17	Supplies and services files	Estates and Facilities	Limitation Act 1980	See Notes	No	Restricted	Completion of work + 6 years
10.18	Supplier files - record of works	Estates and Facilities		12	No	Restricted	
10.19	Monitoring of supplier performance	Estates and Facilities	Limitation Act 1980	See Notes	No	Restricted	Termination of supply contract + 6 years
10.20	Conductor review reports	Estates and Facilities	Limitation Act 1980	See Notes	No	Restricted	Termination of supply contract + 6 years
<b>Plant and equipment maintenance</b>							
10.21	Testing, maintenance and statutory inspections including certificates, repair reports and other records of corrective actions	Estates and Facilities	Limitation Act 1980	See Notes	No	Restricted	Life of plant/equipment + 6 years
10.22	Maintenance schedules	Estates and Facilities		See Notes	No	Restricted	Retain while current + 2 years

10.23	Corrective action schedules	Estates and Facilities		See Notes	No	Restricted	Retain while current + 2 years
10.24	Operations and maintenance (O&M) manuals	Estates and Facilities		See Notes	No	Restricted	Retain for life of plant/equipment
10.25	Major property maintenance works, including refurbishments	Estates and Facilities		See Notes	No	Restricted	Retain until disposal of property
10.26	Minor property maintenance works, including refurbishments	Estates and Facilities	Limitations Act 1980	See Notes	No	Restricted	Completion of work + 15 years
10.27	Major maintenance works within facilities	Estates and Facilities	Limitations Act 1980	See Notes	No	Restricted	Completion of work + 15 years
10.28	Minor maintenance works within facilities	Estates and Facilities	Limitations Act 1980	See Notes	No	Restricted	Current year + 5 years
10.29	Specification of requirements for facilities	Estates and Facilities	Limitations Act 1980	See Notes	No	Restricted	Completion of work + 15 years
<b>Estates and premises management</b>							
10.30	Property acquisition and supporting documentation	Estates and Facilities	Limitations Act 1980	See Notes	No	Restricted	Retain until disposal of property + 12 years

10.31	Negotiations for properties (where property is not acquired)	Estates and Facilities	Limitations Act 1980	See Notes	No	Restricted	Closure of negotiations + 6 years
10.32	Title deeds	College solicitors (Herbert Smith and Wragge and Co)		See Notes	Yes	Restricted	On expiry or disposal of property transfer to <a href="#">Archives Services</a>
10.33	Leases	College solicitors (Herbert Smith and Wragge and Co)		See Notes	Yes	Restricted	On expiry or disposal of property transfer to <a href="#">Archives Services</a>
10.34	Negotiation of leases	Estates and Facilities	Limitations Act 1980	See Notes	No	Restricted	Expiry of lease + 15 years
10.35	Mortgage deeds	College solicitors (Herbert Smith and Wragge and Co)		See Notes	Yes	Restricted	On expiry or disposal of property transfer to <a href="#">Archives Services</a>
10.36	Disposal of property by sale, transfer or donation	Estates and Facilities	Limitations Act 1980	See Notes	Yes	Restricted	Disposal of property + 12 years
10.37	Space audits	Estates and Facilities		See Notes	No	Restricted	Completion of subsequent audit + 5 years

Property development							
10.38	Planning application supporting documentation	Estates and Facilities		See Notes	Yes	Restricted	Retain while current then transfer to <a href="#">Archives Services</a>
10.39	Major works building drawings	Estates and Facilities		See Notes	Yes	Restricted	Retain while current then transfer to <a href="#">Archives Services</a>
10.40	Health and safety files for properties and premises	Estates and Facilities	Management of Health and Safety at Work Regulations 1999	See Notes	No	Restricted	Retain until demolition or disposal of property
10.41	Planning documents for the relocation of facilities	Estates and Facilities		See Notes	No	Restricted	Completion of relocation + 10 years
10.42	Working documents for the physical relocation of facilities	Estates and Facilities		See Notes			Completion of relocation + 2 years
Sustainability management							
10.43	Routine monitoring of College energy use	Estates and Facilities		See Notes	No	Restricted	Current year + 5 years
10.44	Formal reviews of College energy use, including conduct, results and actions	Estates and Facilities		See Notes	No	Restricted	Completion of review + 5 years

10.45	Environmental audits, including conduct, results and actions	Estates and Facilities		See Notes	No	Restricted	Completion of audit + 5 years
10.46	Promotion of environmental best practice within College	Estates and Facilities		See Notes	No	Restricted	Current year + 5 years
10.47	Attainment and maintenance of College accreditation under environmental management schemes	Estates and Facilities		See Notes	No	Restricted	Termination of accreditation + 1 year
<b>Security Management</b>							
10.48	Key issue and return logs	Security Services		2	No	Restricted	
10.49	Visitor logs	Security Services		2	No	Restricted	
10.50	Access logs	Security Services		2	No	Restricted	
10.51	Incident logs	Security Services		2	No	Restricted	
10.52	Fire inspection logs	Security Services		31 days	No	Restricted	
10.53	Closed circuit television (CCTV) recordings	Security Services	General Data Protection Regulation (GDPR)	31 days	No	Restricted	

10.54	Security inspections of properties	Security Services		See Notes	No	Restricted	Retain until completion of subsequent inspection
10.55	Security breaches or incidents, including theft reports	Security Services		See Notes	No	Restricted	Last action on incident + 1 year
<b>Risk assessments</b>							
10.56	Risk assessments and supporting documentation	Departments	Management of Health and Safety at Work Regulations 1999	See Notes	No	Internal	Review of assessment + 3 years  Risk assessments include display screen equipment, handling of COSHH materials and GMOs. Supporting documentation may include material safety data sheets, standard operating procedures, local safety protocols and COSHH data sheets

10.57	Fire risk assessments	Health and Safety Services	Regulatory Reform (Fire Safety) Order 2006	See Notes	No	Restricted	Retain while current + 10 years
10.58	Health surveillance records	Health and Safety Services / Departments	Control of Substances Hazardous to Health Regulations 2002	See Notes	No	Highly restricted	Retain while current + 10 years
10.59	Asbestos assessments	Estates and Facilities	Control of Asbestos Regulations 2006	See Notes	No	Restricted	Retain while current + 10 years
10.60	Asbestos air monitoring	Estates and Facilities	Control of Asbestos Regulations 2006	See Notes	No	Restricted	Retain for 5 years from last date of entry unless monitoring reveals exposure levels hazardous to health, in which case retain for 40 years
10.61	Health records of individuals exposed to asbestos	Estates and Facilities / Health and Safety Services / Departments	Control of Asbestos Regulations 2006	40	No	Highly Restricted	Retain for 40 years from date of last entry
10.62	Asbestos register	Estates and Facilities	Control of Asbestos at Work Regulations 2002	See Notes	No	Restricted	Retain permanently

10.63	Legionella register	Estates and Facilities	Control of Substances Hazardous to Health Regulations 2002	See Notes	No	Restricted	Retain permanently
10.64	Maintenance, examination and testing of control measures regarding exposure to lead	Estates and Facilities	Control of Lead at Work Regulations 2002	See Notes	No	Restricted	Retain for 5 years from date of last entry
10.65	Air monitoring records (where a risk assessment has identified significant exposure to lead)	Estates and Facilities	Control of Lead at Work Regulations 2002	See Notes	No	Restricted	Retain for 5 years from date of last entry
10.66	Health records of individuals exposed to lead	Estates and Facilities / Health and Safety Services / Departments	Control of Lead at Work Regulations 2002	40	No	Restricted	Retain for 40 years from date of last entry
10.67	General exposure to hazardous substances	Estates and Facilities / Health and Safety Services / Departments	Control of Substances Hazardous to Health Regulations 2002	5	No	Restricted	
10.68	Personal exposure to hazardous substances	Estates and Facilities / Health and Safety Services / Departments	Control of Substances Hazardous to Health Regulations 2002	40	No	Restricted	

10.69	Permits to work	Estates and Facilities/ Departments	Management of Health and Safety at Work Regulations 1999	See Notes	No	Internal	Retain while current + 3 years
10.70	Noise assessments	Estates and Facilities	Noise at Work Regulations 1989	See Notes	No	Restricted	Retain until completion of subsequent inspection
<b>Accidents and dangerous occurrences</b>							
10.71	Online accident reporting	Health and Safety Services / Departments	Management of Health and Safety at Work Regulations 1999 Limitation Act 1980 Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995	See Notes	No	Restricted	Retain for 3 years locally then transfer to HSEPO for a further 10 years
10.72	F2508 form for reportable accidents and dangerous occurrences	Health and Safety Services	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995	40	No	Restricted	
10.73	F2508a form for reportable diseases	Health and Safety Services	Reporting of Injuries, Diseases	40	No	Highly restricted	

			and Dangerous Occurrences Regulations 1995				
10.74	Accident investigations	Health and Safety Services / Departments	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995	40	No	Restricted	
10.75	Records of tests under the COSHH Regulations	Estates and Facilities/ Departments	Control of Substances Hazardous to Health Regulations 2002	5	No	Restricted	
10.76	New building projects F10 form	Estates and Facilities	Construction Design and Management Regulations 2007	See Notes	No	Restricted	Duration of building project + 3 years
10.77	Asbestos removal	Estates and Facilities	Control of Asbestos Regulations 2006	See Notes	No	Restricted	Duration of building project + 3 years
10.78	Safety reports	Estates and Facilities	Control of Major Accident Hazards Regulations 1999	See Notes	No	Restricted	Retain until review or completion of subsequent report.  Reports to be reviewed or completed at least

							every 5 years
10.79	Emergency plans	Estates and Facilities	Control of Major Accident Hazards Regulations 1999	See Notes	No	Restricted	Retain until review or completion of subsequent plan.  Plans to be reviewed or completed at least every 3 years
<b>Waste management</b>							
10.80	Register of 'special waste' disposed of by licensed contractors	Estates and Facilities	Regulation 15 of the Special Waste Regulations 1996 (SI 1996/972).	See Notes	No	Restricted	Removal of waste + 3 years  'Special waste' as defined in the Special Waste Regulations 1996
10.81	Disposal of hazardous waste	Estates and Facilities	Regulation 49 of the Hazardous Waste (England and Wales) Regulations 2005 (SI 2005/894)	See Notes	No	Restricted	Removal of waste + 3 years  The Hazardous Waste (England and Wales) Regulations 2005 specifies the content of these records
10.82	Disposal of confidential waste	Estates and Facilities		See Notes	No	Restricted	Removal of waste + 3 years

## 11. Human Resources

College Lead: Human Resources (HR)

	<b>Record Description</b>	<b>Responsibility</b>	<b>Legal Reference</b>	<b>Retention Rule</b>	<b>Archive</b>	<b>Classification</b>	<b>Notes</b>
11.1	Major restructuring – plans, consultation documents, meeting records	HR		See Notes		Restricted	Retain locally for 4 years then transfer to <a href="#">Archives Services</a>
<b>HR policies, codes of practice, forms and procedures</b>							
11.2	Includes Dignity at Work Policy, Flexible Working Time Policy, Confidentiality Policy, Retirement Procedure	HR			No	Internal	Published on the <a href="#">HR website</a> See also <a href="#">Diversity &amp; Inclusion policies</a>
11.3	Summary of harmonised terms and conditions of employment	HR			Yes	Internal	Published on the <a href="#">HR website</a>
<b>Industrial relations</b>							
11.4	Records of regular trade union liaison meetings and of joint project groups	HR			Yes	Restricted	

Staff training and development							
11.5	Annual programme of training courses	Organisation Development		1	No	External	
11.6	Records of staff attendance at internal training courses	Organisation Development	General Data Protection Regulation (GDPR)	5	No	Restricted	
Job evaluation							
11.7	Job evaluation criteria – grading schemes	HR		See Notes	No	Restricted	While scheme is active + 7 years
11.8	Job descriptions and job evaluation reports	HR		See Notes	No	Restricted	Retain on permanent College personnel file  Destroy local copies on termination of employment
Staff administration							
11.9	College personnel files	HR	General Data Protection Regulation (GDPR)	See Notes	Yes	Highly restricted	Retain permanently as core staff record.  Transfer paper file to the <a href="#">Records Management</a>

							<p><a href="#">Service</a>. Retain information on the HRMS database</p> <p>More detailed guidance is available in <a href="#">Guide to managing staff records</a></p>
11.10	Departmental personnel files	Line manager	General Data Protection Regulation (GDPR)	See Notes	No	Highly restricted	<p>Retain until termination of employment then transfer to HR</p> <p>More detailed guidance is available in <a href="#">Guide to managing staff records</a></p>
11.11	Records of contractual holiday entitlement	Departments	General Data Protection Regulation (GDPR)	See Notes	No	Highly restricted	Current year + 1 year
11.12	Records of special leave, i.e. compassionate leave, study leave, etc	Departments	General Data Protection Regulation (GDPR)	See Notes	No	Highly restricted	Current year + 1 year
11.13	Records of statutory leave entitlements, i.e. parental leave or leave	Departments	General Data Protection Regulation	See Notes	No	Highly restricted	Completion of entitlement + 6 years

	taken for dependants		(GDPR)				
Recruitment (see also leadership recruitment under <a href="#">King's Search</a> )							
11.14	Authorisation to recruit form	HR		See Notes		Restricted	Retain on permanent College personnel file  Destroy local copies on termination of employment
11.15	Advert, recruitment agency brief	Departments		See Notes		External	Vacancy filled + 6 months
11.16	Unsuccessful application forms and CVs	Departments	General Data Protection Regulation (GDPR)	See Notes		Restricted	Vacancy filled + 6 months
11.17	Successful application form and CV	HR/Departments	General Data Protection Regulation (GDPR)	See Notes		Restricted	Retain on permanent College personnel file  Destroy local copies on termination of employment
11.18	Shortlisting notes, interview notes and test results	Departments	General Data Protection Regulation (GDPR)	See Notes		Restricted	Vacancy filled + 6 months

11.19	Criminal Records Bureau (CRB) checks	HR	General Data Protection Regulation (GDPR)	See Notes		Restricted	Retain for 1 year.  College personnel file should note that check has been satisfactorily or unsatisfactorily completed.
<b>Performance</b>							
11.20	Annual appraisal records	Line manager	General Data Protection Regulation (GDPR)	4	No	Restricted	
11.21	Appraisal summary forms	Departments		4	No	Restricted	
<b>Complaints, grievances, disciplinary</b>							
11.22	Tribunal case files	HR	Limitation Act 1980 General Data Protection Regulation (GDPR)	See Notes	Yes	Highly restricted	Retain locally until closure of case + 6 years then transfer to <a href="#">Archives Services</a>
11.23	Grievance records	Departments	Limitation Act 1980 General Data Protection Regulation (GDPR)	See Notes	No	Highly restricted	Closure of case + 6 years

11.24	Capability and disciplinary records	Departments	Limitation Act 1980 General Data Protection Regulation (GDPR)	See Notes	No	Highly restricted	Closure of case + 6 years
<b>Staff health surveillance</b>							
11.25	Pre-employment health declaration	HR	General Data Protection Regulation (GDPR)	See Notes	Yes	Highly restricted	Retain on permanent College personnel file
11.26	Medical records and details of assessments	Occupational Health	General Data Protection Regulation (GDPR)	See Notes	No	Highly restricted	Retain until termination of employment
11.27	Occupational health reports	Departments	Limitation Act 1980 General Data Protection Regulation (GDPR)	See Notes	No	Highly restricted	Termination of employment + 6 years
11.28	Sickness records unrelated to industrial injury	Departments	Limitation Act 1980 General Data Protection Regulation (GDPR)	See Notes	No	Highly restricted	Termination of employment + 6 years

11.29	Records of major injuries arising from workplace accidents	HR	Limitations Act 1980 General Data Protection Regulation (GDPR)	See Notes	No	Highly restricted	Termination of employment + 40 years
11.30	Medical records under the Ionising Radiation (Medical) Exposure Regulations 2000	Appointed doctor	Ionising Radiation (Medical Exposure) Regulations 2000 General Data Protection Regulation (GDPR)	See Notes	No	Highly restricted	Retain until termination of employment + 6 years
<b>Salary and payments</b>							
11.31	Statutory maternity pay calculations, certificates and medical evidence	HR/Finance and Planning	General Data Protection Regulation (GDPR)	See Notes	No	Highly restricted	HR retain until termination of employment + 6 months  Finance and Planning retain for 1 year
11.32	Statutory sick pay calculations and certificates	HR	General Data Protection Regulation (GDPR)	See Notes	No	Highly restricted	Termination of employment + 6 months
11.33	Salary records including overtime, bonuses, and expenses	Finance and Planning	General Data Protection Regulation	7	No	Highly restricted	

			(GDPR)				
11.34	Redundancy records – calculations, refunds,	HR	General Data Protection Regulation (GDPR)	See Notes	Yes	Highly restricted	Retain on permanent College personnel file
<b>Counselling and support</b>							
11.35	Staff case files	Diversity and Inclusion	General Data Protection Regulation (GDPR)	See Notes	No	Highly restricted	Retain from last action on case + 6 years
<b>Supervisory Excellence Awards</b>							
11.36	Supervisor nominations	Graduate School	General Data Protection Regulation (GDPR)	See Notes	No	Restricted	Current year + 5 years
11.37	Statements and supporting documents from Schools	Graduate School	General Data Protection Regulation (GDPR)	See Notes	No	Restricted	Current year + 5 years
11.38	Formal letter confirming award	Graduate School		See Notes	No	Restricted	Current year + 5 years  Copy passed to Human Resources for inclusion on staff file
<b>Temporary staff</b>							

11.39	Timesheets for temporary or agency staff	Departments	The Working Time Regulations 1998	2	No	Restricted	
11.40	Invoices from agencies for supply of temporary staff	Finance and Planning		7	No	Restricted	
<b>King's Search – Leadership recruitment</b>							
11.41	Unsuccessful candidates – application forms and CVs	King's Search	General Data Protection Regulation (GDPR)	Vacancy filled + 5 years	No	Restricted	Data is part of King's Search knowledge base and candidates may be considered for future posts
11.42	Successful candidates – application forms and CVs	King's Search	General Data Protection Regulation (GDPR)	Retain permanently as part of core staff record	No	Restricted	
11.43	Post advertisement or briefing document	King's Search	None	Retain for reuse as required	No	Restricted	
11.44	Shortlisting and interview notes	King's Search	General Data Protection Regulation (GDPR)	Vacancy filled + 5 years	No	Restricted	Data is part of King's Search knowledge base and candidates may be considered for future posts
11.45	References for unsuccessful candidates	King's Search	General Data Protection Regulation (GDPR)	Vacancy filled + 5 years	No	Restricted	Data is part of King's Search knowledge base and candidates

							may be considered for future posts
11.46	References for successful candidates	King's Search	General Data Protection Regulation (GDPR)	Retain permanently as part of core staff record	No	Restricted	
11.47	Candidate profiles on Invenias database	King's Search	General Data Protection Regulation (GDPR)	Last interaction + 7 years	No	Restricted	

## 12. External Relations

College Lead: External Relations

	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
	Development and alumni						
12.1	Development Committee agendas, papers, minutes	Development and Alumni			Yes	Restricted	
12.2	Alumni publications	Development and Alumni			Yes	External	Includes In Touch magazine  Transfer 3 printed copies (where applicable) and 1 digital copy of each to <a href="#">Archives Services</a>
12.3	Alumni events	Development and Alumni			No	Internal	Includes lecture texts, attendance lists, menus
	Fundraising						
12.4	Major fundraising campaigns	Development and Alumni		See Notes	Yes	Internal	At the end of the campaign transfer summary and

							final reports to <a href="#">Archives Services</a>
12.5	Gift records	Development and Alumni	General Data Protection Regulation (GDPR)	See Notes	Yes	Restricted	Retain while current then transfer to <a href="#">Archives Services</a>
12.6	Donor/sponsor records	Development and Alumni	General Data Protection Regulation (GDPR)	See Notes	Yes	Restricted	Retain while current then transfer to <a href="#">Archives Services</a>
<b>Public Relations</b>							
12.7	Press releases	Public Relations		6	No	Internal	
12.8	Media monitoring	Public Relations		2	Yes	Internal	
12.9	Public Relations publications	Corporate Design Unit			Yes	External	Includes the College Annual Report Transfer 3 printed copies (where applicable) and 1 digital copy of each to <a href="#">Archives Services</a>
12.10	Photographs	External Relations			See Notes	Internal	Stored in the King's online image library

							<a href="#">Archives Services</a> will select material of value for permanent preservation
12.11	Directory of Experts database	Public Relations			No	External	Delete database entry on termination of staff contract
12.12	Database of public relations contacts	Public Relations	General Data Protection Regulation (GDPR)	See Notes	No	Restricted	Retain indefinitely Annotate entries for deceased contacts to ensure that they are no longer sent correspondence
<b>Design of official publications</b>							
12.13	Corporate design and branding guidelines	Corporate Design Unit			Yes	Internal	Transfer 3 printed copies (where applicable) and 1 digital copy to <a href="#">Archives Services</a>
<b>Outreach to schools</b>							
12.14	Records of marketing and monitoring of schools outreach activities	Marketing		1	No	Internal	Includes monitoring numbers of applicants by school

<b>Marketing publications</b>							
12.15	College prospectuses	Marketing			Yes	External	Transfer 3 printed copies (where applicable) and 1 digital copy to <a href="#">Archives Services</a>
12.16	Brochures and leaflets	Marketing			See Notes	External	<a href="#">Archives Services</a> will select material of value for permanent preservation
12.17	Event literature	Marketing			See Notes	External	<a href="#">Archives Services</a> will select material of value for permanent preservation
<b>Executive Education</b>							
12.18	Executive education programmes – participant data	King's Professional and Executive Development (KPED)	General Data Protection Regulation (GDPR)	2	No	Restricted	Completion of programme + 2 years
12.19	Executive education programmes – administrative records	King's Professional and Executive Development (KPED)		See Notes	No	Restricted	Retain indefinitely for business planning and reporting

## 13. Library Services

College Lead: Library Services

	<b>Record Description</b>	<b>Responsibility</b>	<b>Legal Reference</b>	<b>Retention Rule</b>	<b>Archive</b>	<b>Classification</b>	<b>Notes</b>
13.1	Library Services Executive Team agendas, papers, minutes	Library Services			No	Restricted	
13.2	Meeting records of Library Services departments	Library Services			No	Restricted	
13.3	Quarterly key performance indicators (KPIs)	Library Services			No	Internal	
13.4	Monthly reports	Library Services			No	Restricted	
13.5	Newsletters and circulars	Library Services			No	Restricted	
13.6	Service level agreements Includes JISC, Research Libraries UK, Chartered Institution of Taxation, London Metropolitan Network,	Library Services		6	No	Restricted	Termination of agreement + 6 years

	Courtauld Institute and internal College users						
<b>Libraries</b>							
13.7	Planning documents and service specifications	Library Services			No	Restricted	
13.8	Library correspondence	Library Services		4	No	Restricted	Includes user issues and site security and disciplinary matters
13.9	Inter-library loan forms	Library Services	General Data Protection Regulation (GDPR)	7	No	Restricted	British Library requirement
13.10	User loan records	Library Services	General Data Protection Regulation (GDPR)	4	No	Restricted	
13.11	Users with no outstanding fines	Library Services	General Data Protection Regulation (GDPR)	4	No	Restricted	
13.12	Users with outstanding fines	Library Services	General Data Protection Regulation (GDPR)	See Notes	No	Highly restricted	Retain until fine has been paid
13.13	Medical certificates relating to credit fines	Library Services	General Data Protection Regulation (GDPR)	See Notes	No	Highly restricted	Destroy after crediting

<b>Library membership applications</b>							
13.14	Academic staff	Library Services	General Data Protection Regulation (GDPR)	See Notes	No	Restricted	Retain paper form until record is logged on the library database
13.15	NHS staff	Library Services	General Data Protection Regulation (GDPR)	6 months	No	Restricted	
13.16	Intercollegiate students	Library Services	General Data Protection Regulation (GDPR)	2	No	Restricted	
13.17	SCONUL Access scheme members	Library Services	General Data Protection Regulation (GDPR)	2	No	Restricted	
13.18	Visitors – with borrowing rights	Library Services	General Data Protection Regulation (GDPR)	4	No	Restricted	
13.19	Visitors – reference only rights	Library Services	General Data Protection Regulation (GDPR)	1	No	Restricted	Visitor records for reference users are renewed annually  Retain application form for 1 year from non-renewal of membership

13.20	Visitor logs	Library Services		2	No	Restricted	
13.21	Disability support forms	Library Services	General Data Protection Regulation (GDPR)	See Notes	No	Highly restricted	Retain until completion of course
<b>Policies and procedures</b>							
13.22	Library policies and procedures. Includes, but are not limited to, Library Regulations, Collection Management Policy, Policy on Gifts and Bequests	Library Services			Yes	External	Published on <a href="#">Governance Zone</a>
<b>Archives and Special Collections</b>							
13.23	Acquisitions and accessions records	Archives and Special Collections		See Notes	Yes	Restricted	Retain permanently
13.24	Depositor/donor agreements	Archives and Special Collections		See Notes	Yes	Restricted	Retain permanently
13.25	Organisation of collections – catalogue records	Archives and Special Collections		See Notes	Yes	External	Retain permanently
13.26	User enquiries and responses	Archives and Special Collections		10	No	Restricted	

13.27	Conservation reports and records	Archives and Special Collections			No	Restricted	
13.28	Exhibitions and outreach materials	Archives and Special Collections			No	Restricted	
<b>Project management</b>							
13.29	Records of major investment programmes	Library Services		See Notes	Yes	Restricted	Retain while current + 5 years locally then transfer to <a href="#">Archives Services</a>
13.30	Routine documentation from internal projects	Library Services		1	No	Restricted	
13.31	Documentation and outputs from externally funded projects	Library Services		See Notes	No		Completion of project + 6 years
<b>Statistics and returns</b>							
13.32	Annual College statistical returns	Library Services		10	No	Restricted	
13.33	SCONUL annual returns	Library Services		10	No	Restricted	
13.34	UCISA annual returns	Library Services		10	No	Restricted	
<b>Copyright</b>							

13.35	Copyright licences	Library Services		See Notes	No	Restricted	Termination of contract + 6 years
13.36	Copyright declaration forms	Library Services		7	No	Restricted	

<b>14. IT Services</b>							
College Lead: IT Directorate							
	<b>Record Description</b>	<b>Responsibility</b>	<b>Legal Reference</b>	<b>Retention Rule</b>	<b>Archive</b>	<b>Classification</b>	<b>Notes</b>
14.1	IT Executive Team agendas, papers, minutes	IT Directorate			No	Restricted	
14.2	Meeting records of cross-IT committees, such as Project Review Board (PRB)	IT Directorate			No	Restricted	
<b>Policies and procedures</b>							
14.3	IT Regulations	IT Directorate			Yes	External	Published on <a href="#">Governance Zone</a>

14.4	IT policies and procedures. Includes, but is not limited to, IT Security Policy, Email Policy, Acceptable Use Policy, Network Policy, Encryption Policy, Password Policy, Mobile Device Policy	IT Directorate			Yes	External	Published on <a href="#">Governance Zone</a>
<b>IT systems security management</b>							
14.5	IT incident reports	IT Directorate		See Notes	No	Restricted	Date of incident + 5 years
14.6	System level security documentation	IT Directorate		See Notes	No	Restricted	Decommissioning of system + 5 years
14.7	Records of opening, maintaining and closing user accounts within College systems, including email accounts	IT Directorate	Regulation of Investigatory Powers Act 2000 and associated regulations	See Notes	No	Restricted	Closure of account plus one year
14.8	Routine system monitoring records, to ensure compliance with IT policies and procedures	IT Directorate		2	No	Restricted	

14.9	Requests and authorisations for connecting third party equipment to College networks	IT Directorate		See Notes	No	Restricted	Termination of connection + 1 year
14.10	Records of removal or return of IT equipment	IT Directorate			No	Restricted	Return of equipment + 3 months
14.11	Records of disposal of IT equipment	IT Directorate	Environmental Protection Act 1990 and associated regulations	See Notes	No	Restricted	Date of disposal + 3 years
<b>Programme and project management</b>							
14.12	Records of major investment programmes such as Connected Campus	IT Directorate		See Notes	Yes	Restricted	Retain while current + 5 years locally then transfer to <a href="#">Archives Services</a>
14.13	Documentation supporting project to service transition	IT Directorate		See Notes	No	Restricted	On completion of the project, transfer documentation to the relevant service team

14.14	Routine documentation from internal projects	IT Directorate		1	No	Restricted	
14.15	Documentation and outputs from externally funded projects	IT Directorate		See Notes	No	Restricted	Completion of project + 6 years