**The University of Leeds**

**Records Retention Schedule**

**Introduction**

This retention schedule describes the time periods for which records should be retained by the University in order to comply with operational and legal requirements, including data protection legislation.

Please note that the default action to be taken at the end of the retention period is the secure destruction or deletion of the record. Exceptions are where “Archive” is mandated, in which instance the record should be offered to the University Archive Service for review for permanent retention before it is destroyed, or where the retention period is described as “perpetuity”. Please see Appendix 1 for a list of core academic data to be kept in perpetuity.

Only one copy of each record needs to be kept for the full length of the retention period. Duplicate and secondary copies should be destroyed as soon as they are no longer of immediate operational use.

A record is defined in the Records Management British Standard BS ISO 15489 as “Information created, received and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transaction of business*.”* All records created and held by the University, both in paper and electronic form, and including data held in databases are subject to retention policies. Where a record contains personal data the retention periods stated in the schedule are mandatory requirements and must be followed unless a specific exception has been approved. Please see Appendix 3 for a list of what constitutes each data subject type.

Please note that this schedule does not necessarily reflect all the records held by the University. If you hold a record group which is not covered by the schedule, please contact the Data Protection Officer in the first instance.

**Unstructured information systems**

Email should not be used for storing University records. Emails that constitute a record which needs to be retained, including those containing personal data, must be stored in an appropriate filing system relevant to their confidentiality or criticality.

Shared drives or other unstructured storage solutions (including cloud based storage) should be managed in accordance with this schedule.

**Structured systems storing personal data**

All structured information management systems that store personal data must be managed in accordance with this schedule. These systems must have a deletion or archival capability and where appropriate be able to identify a skeleton record (a subset of the original information) for continued retention.

**Destruction and Deletion**

Deletion of data means it is no longer available in plain sight, however it may be recoverable. Destruction of data means data is removed and can never be recovered. When the retention period has elapsed data should be securely destroyed by an appropriate method. Filestore personal data, including data on OneDrive which is over 7 years old should be deleted.

**The University Archive**

University records which have significant evidential or informational value may need to be retained permanently. Records for permanent retention are transferred to the University Archive, which is part of Special Collections, University of Leeds Library. Certain general classes of record should automatically be offered to the University Archive, as follows:

University strategy and policy documents should be retained for 10 years or 5 years, depending on importance, and then referred to the University Archives for review.

Audits and reviews of performance against plans should be retained for 10 years or 5 years after the current academic year, and then referred to the University Archives for review.

Contracts and customer service agreements should be retained for 6 years after the termination of the contract or agreement, and then referred to the University Archives for review.

Contracts under seal and their related negotiation, establishment and review documents should be kept for 12 years after the termination of the contract and then referred to the University Archives for review.

Publications and promotional materials should be kept whilst current, and then 1 copy offered to the University Archives for review.

In addition to these general classes of record, the letter A in the ‘Archive’ column in the Schedules indicates that documents should be referred to the University Archives for review before a final disposition action is taken. Please see Appendix 4 for the HR Archival Management Process.

# **Student Administration**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Description of record | Maximum retention period | Archive | Legal Citation | Regulatory or other requirements |
| Student recruitment campaigns | Current academic year + 6 years | A |  | Institutional business requirements |
| Admission criteria | Superseded + 10 years | A | The Equality Act 2010 | Institutional business requirements |
| Clearing process administration | Current academic year + 1 year |  |  | Institutional business requirements |
| Student registration summaries and analyses | Current academic year + 15 years |  |  | Institutional business requirements, personal data should be removed and records anonymised.  |
| Student induction programme design | Superseded + 5 years | A |  | Institutional business requirements |
| Records documenting the handling of applications for admission: unsuccessful applicants, including CVs.  | End of contact with applicant + 1 year |  | The Equality Act 2010, actions under discrimination legislation must usually be brought within 6 months | Institutional business requirements |
| Student photographs | 6 years after graduation |  |  | Institutional business requirements |
| Record of DBS check | 6 years after graduation |  |  | Institutional business requirements.  |
| Record of course units taken and marks | Perpetuity |  |  | Institutional business requirements/Institutional Charter/Institutional memory and archival requirements |
| Records assessing fitness to practise  | 11 years after graduation  |  |  | General Medical Council, Nursing and Midwifery Council, General Dental Council, Royal Pharmaceutical Society, Law Society, The Solicitors Regulation Authority, Royal Institute of British Architects |
| Location of medicine and health student placements | Perpetuity |  |  | General Medical Council, Nursing and Midwifery Council, General Dental Council, Royal Pharmaceutical Society |
| Appeals and mitigating circumstances data | 6 years after graduation  |  | Limitation Act 1980 | Institutional business requirements |
| Additional student records not covered by the schedule | 6 years after graduation |  |  | Institutional business requirements |
| Records informing the production of a student transcript (See Appendix 1) | Perpetuity |  |  | Institutional business requirements/institutional charter/institutional memory and archival requirements |

# **Examinations and Assessments**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Description of record | Maximum retention period | Archive | Legal Citation | Regulatory and other requirements |
| Examination rules and procedures | Superseded + 10 years | A |  | Institutional business requirements |
| Examination administration (timetabling, collation, attendance etc)  | Current academic year + 1 year |  |  | Institutional business requirements |
| Exam scripts and assessment marks | 6 years after graduation |  |  | Institutional business requirements |
| PGR assessment documentation eg. Transfer panel report, Examiners Preliminary Report (Pre-Viva) , Examiners Joint Report (Post Viva) | 6 years after graduation |  |  | Institutional business requirements |
| Pass/award lists | Perpetuity | A |  | Institutional business requirements |
| Award ceremony administration | Completion + 1 year |  |  | Institutional business requirements |

# **Student Relations**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Description of record | Maximum retention period | Archive | Legal Citation | Regulatory and other requirements  |
| Staff/student liaison committees | Life of committee + 3 years | A |  | Institutional business requirements |
| Records documenting the handling of pre-application enquiries | End of contact with enquirer + 1 year |  | Equality Act 2010 | Institutional business requirements |
| Student surveys underlying data (personal data removed) | Completion + 10 years |  |  | Institutional business requirements |
| Student surveys summaries | Perpetuity | A |  | Institutional business requirements |

# **Student Support Services**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Description of record | Maximum retention period | Archive | Legal Citation | Regulatory and other requirements |
| Support services proposals and development | Life of service | A |  | Institutional business requirements |
| Information about student wellbeing including information held by counselling | 6 years after graduation |  |  | British Association of Counselling and Psychotherapy Guidelines advises keeping “accurate and appropriate records” balanced against the need in GDPR not to keep personal data longer than necessary.  |
| Information about student disability held by disability services – registered students | 6 years after graduation |  | Equality Act 2010 | Institutional business requirements |
| Information about student disability held by disability services – non registered students | Point of last contact + 6 months |  | Equality Act 2010 | Institutional business requirements |
| Support services performance, audit and reviews | Current academic year + 6 years | A |  | Institutional business requirements |

# **Payroll**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Description of record | Maximum retention period | Archive | Legal Citation | Regulatory and other requirements |
| Non statutory deductions authorisation | Current tax year + 6 years |  | Limitation Act 1980 | Limitation Act 1980 c. 58 s 5 |
| Payroll payments to employees | Current tax year + 6 years |  | Taxes Management Act 1970 Limitation Act 1980 Income Tax (Employment) Regulations 1993 National Minimum Wage regulations 1998 | The National Minimum Wage Regulations (SI 2015/621) Regulation 59(8)The Income Tax (Pay As You Earn) Regulations (SI 2003/2682) Regulation 97(8)Taxes Management Act 1970 c. 9 s 34 |
| Sick pay | Current tax year + 3 years |  | Statutory Sick Pay (General) Regulations 1982 | The Statutory Sick Pay (Maintenance of Records) (Revocation) Regulations 2014 (SI 2014/55). |
| Parental leave pay | Current tax year + 3 years |  | Statutory Maternity Pay (General) Regulations 1986 | The Statutory Maternity Pay (General) Regulations (SI 1986/1960) Regulation 26 |
| Pension contributions | End of pension payment + 3 years |  | The Retirement Benefits Schemes (Information Powers) Regulations 1995 | The Retirement Benefits Schemes (Information Powers) Regulations 1995 s.15 (SI 1995/3103) |

# **Human Resources**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Description of record | Maximum retention period | Archive | Legal Citation | Regulatory and other requirements |
| Records relating to job enquiries/prospect staff | Retained as long as enquirer is ‘active’ e.g. made contact. If inactive, data to be removed after 1 year |  |  | Institutional business requirements |
| Unsuccessful employment applications, including CVs | Completion of appointment + 1 year |  | Equality Act 2010 | See Section 1.7 of the Employment Practices Code (Information Commissioner's Office, 2011).Actions under discrimination legislation must generally be brought within 6 months.The Chartered Institute of Personnel and Development recommends '1 year'. See the factsheet Retention of personnel and other related records (2006).Anonymised data may be held for a longer period (e.g. for equality monitoring purposes). |
| Unsuccessful employment applications, including CVs, for candidates without indefinite leave to enter and work in the UK | Completion of appointment + 2 years  |  | UKBA | See Section 1.7 of the Employment Practices Code (Information Commissioner's Office, 2011).Actions under discrimination legislation must generally be brought within 6 months.The Chartered Institute of Personnel and Development recommends '1 year'. See the factsheet Retention of personnel and other related records (2006).Anonymised data may be held for a longer period (e.g. for equality monitoring purposes) |
| Recruitment Pack | Termination of employment + 6 years | Please see Appendix 4 for the HR Archival Management Process.  |  | Institutional business requirements |
| Record of DBS check – staff (record of check not the certificate itself)  |  Termination of employment + 6 years |  | Limitation Act 1980 | Limitation Act 1980 c. 58 s 5See Section 1.7 of the Employment Practices Code (Information Commissioner's Office, 2011). |
| Statistical analyses of applications (anonymised) | Current year + 3 years |  |  | Institutional business requirements |
| Staff development (e.g. training and development undertaken, courses and conferences attended, probation reviews, PDR records) | Termination of employment + 6 years | Please see Appendix 4 for the HR Archival Management Process.  | Limitation Act 1980 | Institutional business requirements |
| Contracts of employment | Termination of employment + 6 years | Please see Appendix 4 for the HR Archival Management Process.  | Limitation Act 1980 | Institutional business requirements |
| Documentation relating to conduct, capability, grievances  | Refer to policy documentation | Please see Appendix 4 for the HR Archival Management Process.  |  | Common HR practiceChartered Institute of Personnel and Development recommends '6 years after employment ceases'. See Retention of personnel and other related records (Chartered Institution of Personnel and Development, 2018). |
| Absence and attendance (e.g. annual/parental/special leave/flexible working/academic leave return to work meetings following sickness, parental leave self certs and fit notes)  | Termination of employment + 6 years | Please see Appendix 4 for the HR Archival Management Process.  | Maternity and Parental Leave Regulations 1999The Statutory Sick Pay (Maintenance of Records) (Revocation) Regulations 2014Limitation Act 1980 | The Statutory Sick Pay (Maintenance of Records) (Revocation) Regulations 2014 (SI 2014/55).Limitation Act, 1980.SI 2014/55 abolished the former obligation on employers to keep these records. Although there is no longer a specific statutory retention period, employers still have to keep sickness records to best suit their business needs. It is advisable to keep records for at least 3 months after the end of the period of sick leave in case of a disability discrimination claim. However, if there were to be a contractual claim for breach of an employment contract it may be safer to keep records for 6 years after the employment ceases. |
| Notice of termination of employment | Termination of employment + 6 years | Please see Appendix 4 for the HR Archival Management Process.  | Limitation Act 1980 | Limitation Act 1980 c. 58 s 5 |
| Core data of employees involved in research for REF (see Appendix 2 for list of data attributes) | Termination of employment + 26 years | Please see Appendix 4 for the HR Archival Management Process.  |  | Institutional business requirements |
| Core data of employees for those involved in the PAS pension scheme (see Appendix 2 for list of data attributes) | End of pension + 3 years | Please see Appendix 4 for the HR Archival Management Process.  |  | Institutional business requirements |
| Hours monitoring | Date of record + 2 years |  | Working Time Regulations 1998 | Institutional business requirements |

# **Teaching**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Description of record | Maximum retention period | Archive | Legal Citation | Regulatory or other requirements |
| Teaching procedure | Superseded + 5 years | A |  | Quality Assurance Agency Quality and Standards Review |
| Development of internal quality assurance processes | Retain whilst current | A |  | Quality Assurance Agency Quality and Standards Review |
| Conduct and results of internal and external Quality reviews | Current academic year + 15 years | A |  | Quality Assurance Agency Quality and Standards Review |
| Curriculum development | Superseded + 10 years | A |  | Quality Assurance Agency Quality and Standards Review |
| Curriculum reviews | Superseded + 10 years | A |  | Quality Assurance Agency Quality and Standards Review |
| Statistics (student numbers etc) | Current academic year + 15 years | A |  | Institutional business requirements |
| Taught programme development  | Life of programme + 10 years | A |  | Institutional business requirements |
| Reviews, reports and feedback on taught programmes | Current academic year + 6 years.  | A (formal documents only) |  | Institutional business requirements |
| Taught course development and teaching materials (including digital education materials e.g. VLE materials)  | Life of course |  |  | Institutional business requirements |
| Reviews, reports and feedback on taught courses | Current academic year + 6 years | A |  | Institutional business requirements |
| Taught course assessments, development and final versions | Life of course | A |  | Quality Assurance Agency Quality and Standards Review |
| Lecture capture | Please refer to the Policy on Audio or Video Recording for Educational Purposes |  |  | Institutional business requirements |

# **Research**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Description of record | Maximum retention period | Archive | Legal Citation | Regulatory or other requirements |
| Research strategy and strategy implementation | Superseded + 10 years | A |  | Institutional business requirements |
| Research related policies | Superseded + 10 years | A |  | See ERDF website and individual agreements with funding bodies Interreg Europe Programme Manual, 19 December 2018 (version 6)Page 28 suggests 10 years to demonstrate state aid (or lack of), however this may vary according to the national archiving laws (see page 105). |
| Internal quality assurance processes | Retain whilst current plus regulatory requirements | A |  | Institutional business requirements |
| Conduct and results of internal and external quality assessments | Current academic year + 6 years | A |  | Institutional business requirements |
| Research partnership formation | Life of partnership + 6 years |  | Limitation Act 1980 | Institutional business requirements |
| Research data including educational research data | Minimum 5 - 10 years after publication but conditions of funders should be adhered to.  | Review for Archive or Special Collection |  | See ERDF website and individual agreements with funding bodies |
| Research management e.g. award letters, funding contracts etc.  | Closure of project account + 6 years (or in line with funder requirements).  | Review for Research Data Archiving |  | See individual agreements with funding bodies |
| Export controls documentation | 3 years |  | Export control order 2008 Regulation (EC) No 428/2009 |  |
| Research outputs: final versions of publications and presentations | Perpetuity  | A |  | Institutional business requirements |
| PGR programme development | Life of programme + 10 years | A |  | Institutional business requirements |
| PGR programme reviews | Current academic year + 6 years | A |  | Institutional business requirements |

# **Leeds University Libraries**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Description of record** | **Maximum retention period** | **Archive** | **Legal Citation** | **Regulatory and other requirements** |
| **Office of the Librarian strategic planning and key associated activity e.g. Strategy Group, Advisory Board etc** | Appraise/review at current + 9 years for permanency | A |  | Institutional business requirements |
| **Library collections accession registers** | Permanent |  |  | Institutional business requirements |
| **Deadicated Extract Database Online Course Readings/Acquisitions including OCR, Ebooks and Reading Lists** (Collection Services) | Appraise/review at current + 9 years for permanency | A |  | Institutional business requirements |
| **Non-digital PhD/Thesis loan form** (Customer Services) | Appraise/review at current + 6 years | A |  | Institutional business requirements |
| **Authority to dispose of de-accessioned items** (Archives/Object disposal) | Completion of disposal process + 6 years | A | Limitation Act 1980 | Limitation Act 1980 c. 58 s 5 |
| **Collections Strategy, evaluation, development of collections/object use** | Superseded + 5 years/Completion of use + 5 years | A |  | Institutional business requirements |
| **Archive, loans, acquisition of objects/institution’s collections** | Permanent |  |

|  |
| --- |
| <https://collectionstrust.org.uk/wp-content/uploads/2016/09/Loans-in-spectrum-factsheet-2015.pdf> Spectrum Advice, Collections Trust, Version 4.0, Jan 2015, Section 4, 5, 6. |

 |  |
| **Copyright compliance: Permissions to copy published works not covered by Copyright Licensing Agency licences** | Period for which permission is granted + 6 years | A | Limitation Act 1980 | Limitation Act 1980 c. 58 s 5 |
| **Surveys/audits by the Copyright Licensing Agency (provided to the institution by the Agency).**  | Current + 5 years | A |  | Institutional business requirements |
| **Research Data Management strategic development, agreements, data including anonymised educational research data, deposit, preservation and reuse.** | Appraise/review at current + 9 years for permanency | A |  | Institutional business requirements |

# **Research Ethics**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Description of record | Maximum retention period | Archive | Legal Citation | Regulatory or other requirements |
| Project reviews and minutes | Current year + 15 years | A |  | Institutional business requirements |
| Requests for advice or information | Last action + 1 year | A |  | Institutional business requirements |
| Signed consent forms and participant information sheets | Destroyed when relevant research data is destroyed or anonymised.  |  |  | UK Research Councils and other significant research sponsors.  |

# **University Related Companies**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Description of record | Maximum retention period | Archive | Legal Citation | Regulatory and other requirements |
| Proposals to form a related company and related documents | Life of company + 10 years | A |  | Institutional business requirements |
| Formation of company | Life of company + 10 years | A |  | Institutional business requirements |
| University audit and reviews of related companies | Current academic year + 10 years | A |  | Institutional business requirements |
| Annual reports and accounts of related companies | Life of company + 10 years | A | Taxes Management Act 1970 c.9 s 34, Limitation Act 1980, Value Added Tax Act 1994, c.23, HMRC VAT Notice 700/21 para. 5.2 |  |
| Winding up or sale of related companies | Disposal + 10 years | A |  | Institutional business requirements |

# **Media Relations**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Description of record | Maximum retention period | Archive | Legal Citation | Regulatory and other requirements |
| Media contacts on UoL systems | Retain while current |  |  | Institutional business requirements |
| Press releases | Date of issue + 10 years (longer retention periods may be necessary depending on the nature and sensitivity of the content) | A |  | Institutional business requirements |
| Transcripts of media briefings, interviews  | Date of issue + 10 years (longer retention periods may be necessary depending on the nature and sensitivity of the content) | A |  | Institutional business requirements |

# **Community Outreach**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Description of record | Maximum retention period | Archive | Legal Citation | Regulatory and other requirements |
| Public enquiries  | End of contact with enquirer + 1 year |  |  | Institutional business requirements |
| User surveys  | Completion of survey + 3 years | A |  | The retention period will depend on what was stated in the privacy notice initially. After this responses can be anonymised for analysis in compliance with GDPR.  |
| Email distribution list | Retain whilst current |  |  | Institutional business requirements |

# **Alumni and Development Office**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Description of record | Maximum retention period | Archive | Legal Citation | Regulatory and other requirements |
| Alumni details including name, DOB, address, contact information, education details, career and employment, individual relationships, interests, union society, religious beliefs, racial or ethnic background, legal documents in reference to estate administration, giving history, volunteering and event attendance history, in receipt of scholarship | **In perpetuity** |  |  | Institutional business requirements |
| Alumni dietary preferences, communication preferences, research notes | **Held during lifetime** |  |  | Institutional business requirements |
| Alumni scholar reports | **Graduation + 3 years** |  |  | Institutional business requirements |
| Non-Alumni (with giving history/other such data eg. donors) details including name, DOB, communication preferences, giving history, legal documents in reference to estate administration, giving history volunteering and event attendance history | **In perpetuity** |  |  | Institutional business requirements |
| Non-alumni (with giving history/other such data eg. donors) details including contact information, education details, career and employment. | **End of relationship + 0.5 years** |  |  | Institutional business requirements |
| Non-alumni (with giving history/other such data eg. donors) interests, union society, religious beliefs, racial or ethnic background, dietary requirements, scholarships | **Graduation of the recipient alumni + 3 years** |  |  | Institutional business requirements |
| Non-alumni (with giving history/other such data eg. donors) individual relationships, research notes | **End of relationship + 6 years**  |  |  | Individual business requirements |
| Non-alumni (without giving history/other such data) details including name, DOB and address | **End of relationship + 0.5 years** |  |  | Institutional business requirements |
| Donation funded scholars details including name, DOB, address, contact information, education details, interests, union society, religious beliefs, racial or ethnic background, dietary requirements, individual relationships, volunteering and event attendance history, scholarships and scholar reports | **Upon graduation, transfer to 'Alumni' record** |  |  | Institutional business requirements |
| Alumni and non-alumni bank details  | **End of financial transaction**  |  |  | Institutional business requirements |
| Alumni and non-alumni wealth screening information | **End of financial transaction** |  |  | Institutional business requirements |

# **Governance**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Description of record | Maximum retention period | Archive | Legal Citation | Regulatory and other requirements |
| Records of establishment and development of governance structure | Life of institution | A |  | Institutional business requirements |
| Personal data of Council members  | Termination of appointment + 6 yearsPlease note that a record of appointment will be held in perpetuity  |  | Limitation Act 1980 | Institutional business requirements |
| Council and Senate minutes, agendas and reports | In perpetuity | A |  | Institutional business requirements |
| Establishment and terms of reference of executive committees | Current year + 50 years | A |  | Institutional business requirements |
| Executive Committees minutes, agendas and reports | Current year + 50 yearsPlease note that any reports to Council and Senate will be held in perpetuity | A |  | Institutional business requirements |
| Personal data of institution’s senior officers | Termination of appointment + 6 yearsPlease note that a record of appointment will be held in perpetuity  |  | Limitation Act 1980.  | Institutional business requirements |
| Faculty and School committees minutes, agendas and reports | Current year + 10 years | A |  | Institutional business requirements |
| Requests under Freedom of Information Act  | Current year + 3 years |  | Freedom of Information Act 2000 | The National Archives recommends 3 years after creation of record |
| Requests under Freedom of Information Act which resulted in complaints or appeals | Current year + 6 years |  | Freedom of Information Act 2000 | Institutional business requirements |
| Requests under Data Protection Act | Current year + 1 year |  |  | Institutional business requirements |
| Requests under Data Protection Act which resulted in complaints or appeals | Review annually |  |  | Institutional business requirements |

# **HE sector relations**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Description of record | Maximum retention period | Archive | Legal Citation | Regulatory and other requirements |
| Communications with other sector organisations and institutions | Current year + 6 years | A |  | Institutional business requirements |
| Publications | Superseded + 6 years | A |  | Institutional business requirements |
| Statutory Returns | Current year + 10 years | A |  | Institutional business requirements |

# **Government relations**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Description of record | Maximum retention period | Archive | Legal Citation | Regulatory and other requirements |
| Requests for information from government bodies and responses | Last action + 6 years | A |  | Institutional business requirements |
| Formal government surveys and consultations | Last action + 6 years | A |  | Institutional business requirements |
| Government or public enquiries | Last action + 10 years | A |  | Institutional business requirements |
| University input to legislation preparation for HE sector | Last action + 10 years | A |  | Institutional business requirements |
| University input to University legal status and activities | Last action + 5 years | A |  | Institutional business requirements.  |

# **HE regulator relations**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Description of record | Maximum retention period | Archive | Legal Citation | Regulatory and other requirements |
| Requests for information from HE regulators and responses | Last action + 10 years |  |  | Institutional business requirements |
| Formal HE surveys and responses | Last action + 6 years | A |  | Institutional business requirements |

# **HESA Student return**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Description of record | Maximum retention period | Archive | Legal Citation | Regulatory and other requirements |
| HESA working files and associated datasets | Please refer to HESA Student Record Return Data Retention Policy |  |  | Institutional business requirements |
| Final HESA return | Perpetuity | A |  | HESA requirements |
| HESA Aggregate data | Please refer to HESA/UoL contractual agreements |  |  | HESA requirements |
| HESA Pseudonymised data | Please refer to HESA/UoL contractual agreements |  |  | HESa requirements |

# **Strategy and planning**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Description of record | Maximum retention period | Archive | Legal Citation | Regulatory and other requirements |
| Strategy and planning documents | Superseded + 10 years | A |  | Institutional business requirements |
| Strategy and planning review and audit | Current year + 10 years | A |  | Institutional business requirements |

# **Risk management**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Description of record | Maximum retention period | Archive | Legal Citation | Regulatory and other requirements |
| Records documenting identified risks and risk assessments | Superseded + 3 years |  |  | Institutional business requirements |

# **Quality Assurance**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Description of record | Maximum retention period | Archive | Legal Citation | Regulatory and other requirements |
| Quality audits and resultant actions | Completion + 15 years | A |  | Institutional business requirements |
| Attainment and maintenance of collaborative provisions  | Termination of contract + 6 years | A |  | Institutional business requirements |

# **Audit**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Description of record | Maximum retention period | Archive | Legal Citation | Regulatory and other requirements |
| External audits and resultant actions | Completion + 6 years (please note that research grant audits must be retained as per funder requirements) | A |  | Institutional business requirements |
| Internal audits and resultant actions | Completion + 6 years  | A |  | Institutional business requirements |

# **Legal Affairs**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Description of record | Maximum retention period | Archive | Legal Citation | Regulatory and other requirements |
| Contracts under seal (deeds) and related documents | Termination/expiry of deed + 12 years | A | Limitation Act 1980 | Institutional business requirements |
| Contracts not under seal (not deeds) and related documents | Termination/expiry of contract + 6 years | A | Limitation Act 1980 | Institutional business requirements |
| Claims and related documents against the University  | Date of cessation of action (including final judgment and settlement) + 6 years | A | Limitation Act 1980 | Institutional business requirements |
| General legal advice  | Completion of advice + 6 years | A | Limitation Act 1980 | Institutional business requirements |

# **Health and Safety**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Description of record | Maximum retention period | Archive | Legal Citation | Regulatory and other requirements |
| Implementation plans, documents relating to the development of strategy and policy, monitoring auditing and review processes | Superseded + 5 years | A | Health and Safety at work Act etc. 1974 | Institutional business requirements |
| Formation and terms of reference of health and safety committees, proceedings and decisions of committees | Life of Committees +5 Years | A | The Safety Representatives and Safety Committees Regulations 1977 | Institutional business requirements |
| Consultations and communication with employees safety representative | Superseded + 5 years | A | The Safety Representatives and Safety Committees Regulations 1977 | The Safety Representatives and Safety Committees Regulations (SI 1977/500) does not prescribe a retention period for these records. |
| Health and Safety Training records | End of employment + 5 years |  | The Management of Health and Safety at Work Regulations 1999 and others | The following regulations require information, instruction and training to be provided but do not prescribe retention periods for records relating to this activity:The Electricity at Work Regulations (SI 1989/635)Health and Safety Information for Employees Regulations (SI 1990/606)The Health and Safety (Display Screen Equipment) Regulations (SI 1992/2792)The Manual Handling Operations Regulations (SI 1992/2793)The Health and Safety (Safety Signs and Signals) Regulations (SI 1996/341)The Provision and Use of Work Equipment Regulations (SI 1998/2306)The Management of Health and Safety at Work Regulations (SI 1999/3242) |
| Risk assessments (including control measures and action) | Period of relevance + 5 years (also see references to hazardous substances below) |  | The Management of Health and Safety at Work Regulations 1999 | The Management of Health and Safety at Work Regulations (SI 1999/3242) does not prescribe a retention period for these records.As a minimum, risk assessments should be retained until they are superseded.Retaining previous versions provides evidence of compliance and effective management of health and safety over time. |
| Health and Safety inspections | Current year + 5 years |  |  | Institutional business requirements |
| Health and Safety audit reports | Until superseded + 5 years | A |  | Institutional business requirements |
| All records relating to assessments of exposures to hazardous substances (including known or suspected carcinogens, mutagens, teratogens, group 3 or 4 biological agents, GMOs, or where health surveillance is indicated. | Last use of substance + 40 years |  | The Control of Substances Hazardous to Health Regulations 2002 Control of Asbestos regulation | The Control of Substances Hazardous to Health Regulations (SI 2002/2677) Regulation 7(10) and Schedule 3, para. 4(3) |
| All records relating to personal health surveillance | Last use of substance + 40 years |  |  | The Control of Substances Hazardous to Health Regulations (SI 2002/2677) Regulation 7(10) and Schedule 3, para. 4(3) |
| All reports relating to personal exposure monitoring | Date of last entry on record + 40 years. |  | Limitation Act 1980 Management of Health and Safety at work Regulation 1999 | The Control of Substances Hazardous to Health Regulations (SI 2002/2677) Regulation 7(10) and Schedule 3, para. 4(3) |
| Occupational health records including pre-employment screening | Termination of employment + 40 years |  | Limitation Act 1980 | Institutional business requirements |
| Records of notification of accidents to enforcing authorities (under RIDDOR) | Date of known injury + 10 years |  |  | Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 |
| Records of accidents, diseases and dangerous occurrences, and their Investigation | Closure of investigation + 10 years |  |  | Reporting of Injuries, Diseases and Dangerous Occurrences Regulations, 2013 |

# **Emergency Planning / Critical Incident Management**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Description of record | Maximum retention period | Archive | Legal Citation | Regulatory and other requirements |
| Arrangements with external emergency services | Review of arrangements + 5 years |  | The Fire Precautions (Workplace) Regulations 1997 The Management of Health and Safety at Work Regulations 1999 | SI 2005/1541 does not prescribe a retention period for these records.Retaining information about previous arrangements provides evidence of compliance and effective management of health and safety over time. |
| Emergency incident evacuation policy, contingency plans, etc. | Until Superseded + 5 years |  |  | Retaining information about previous arrangements provides evidence of compliance and effective management of health and safety over time. |

# **Fire Safety**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Description of record | Maximum retention period | Archive | Legal Citation | Regulatory and other requirements |
| Building Fire Risk Assessment | Lifetime of building demolished) or until building is sold |  |  | SI 2005/1541 does not prescribe a retention period for these records.Retaining previous versions provides evidence of compliance and effective management of health and safety over time. |
| Operational Fire Risk Assessment | Until superseded |  |  | Neither SI 2005/1541 nor 2005 asp 5 prescribes a retention period for these records.Retaining previous versions provides evidence of compliance and effective management of health and safety over time. |
| Building Plans/ drawing etc. ( fire related) | Lifetime of building demolished) or until building is sold |  |  | Neither SI 2005/1541 nor 2005 asp 5 prescribes a retention period for these records.Retaining previous versions provides evidence of compliance and effective management of health and safety over time. |
| PEEPS | Until Superseded +5 years |  |  | Retaining previous versions provides evidence of compliance and effective management of health and safety over time |
| Regulatory bodies -Official Notices | Lifetime of building demolished) or until building is sold |  |  | Retaining previous versions provides evidence of compliance and effective management of health and safety over time |

# **Work Equipment**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Description of record | Retention period | Archive | Legal Citation | Regulatory and other requirements |
| Statutory Compliance records - Autoclave validation | Lifetime of equipment +5 |  |  | Retaining previous versions provides evidence of compliance and effective management of health and safety over time. |
| Statutory Compliance - Lev records | Lifetime of equipment +5 |  |  | Retaining previous versions provides evidence of compliance and effective management of health and safety over time. |
| Statutory Compliance records - lifting equipment , pressure testing | Lifetime of equipment +5 |  |  | Retaining previous versions provides evidence of compliance and effective management of health and safety over time. |
| Calibration records | Until Superseded |  |  | Retaining previous versions provides evidence of compliance and effective management of health and safety over time. |

# **Radiation**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Description of record | Maximum retention period | Archive | Legal Citation | Regulatory and other requirements |
| Risk assessment: | Until Superseded +5 |  | Ionising Radiations Regulations 17 (IRR17) | Ionising Radiations Regulations (SI 2017/1075) Regulation 7 does not prescribe a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of health and safety over time. |
| Local rules, SOPs | Until Superseded +5 |  | Ionising Radiations Regulations 17 (IRR17) | Ionising Radiations Regulations (SI 2017/1075) does not prescribe a retention period for these records. |
| Reports, investigations, inspections, critical examinations | Until Superseded +5 |  | Ionising Radiations Regulations 17 (IRR17) | Ionising Radiations Regulations (SI 2017/1075) does not prescribe a retention period for these records. |
| General advice | Until Superseded +5 |  | Ionising Radiations Regulations 17 (IRR17) | Ionising Radiations Regulations (SI 2017/1075) does not prescribe a retention period for these records.Retaining previous versions provides evidence of compliance and effective management of health and safety over time |
| Dose investigation | Until Superseded +5 |  | Ionising Radiations Regulations 17 (IRR17) | Ionising Radiations Regulations (SI 2017/1075) Regulation 21(7) |
| Maintenance and testing of engineering controls and Critical Examinations | Until Superseded +5 |  | Ionising Radiations Regulations 17 (IRR17) | Ionising Radiations Regulations (SI 2017/1075) Regulation 21(7) |
| Maintenance and testing of PPE and RPE | Until Superseded +5 |  | Ionising Radiations Regulations 17 (IRR17) | Ionising Radiations Regulations (SI 2017/1075) Regulation 19(4)(c) |
| Report and analysis where some or all of a contingency plan is carried out | Until Superseded +5 |  | Ionising Radiations Regulations 17 (IRR17) | Ionising Radiations Regulations (SI 2017/1075) does not prescribe a retention period for these records. |
| Results of personal dose monitoring of persons entering a controlled area | Until Superseded +5 |  | Ionising Radiations Regulations 17 (IRR17) | Ionising Radiations Regulations (SI 2017/1075) Regulation 21(7) |
| Records of examination and testing of radiation monitoring equipment | Until Superseded +5 |  | Ionising Radiations Regulations 17 (IRR17) | Ionising Radiations Regulations (SI 2017/1075) Regulation 19(4)(c) |
| Records of monitoring of designated areas | Until Superseded +5 |  | Ionising Radiations Regulations 17 (IRR17) | Ionising Radiations Regulations (SI 2017/1075) Regulation 19(4)(c) |
| Dose records for classified workers kept by an Approved Dosimetry Service | Year created + 60 years  |  | Ionising Radiations Regulations 17 (IRR17) | Ionising Radiations Regulations (SI 2017/1075) Regulation 21(3)(a)Dose records are usually made and maintained by a dosimetry service on behalf of an employer. A dosimetry service provides summaries of dose records to an employer on whose behalf it makes and maintains the records. |
| Dose record summaries supplied by an ADS for classified workers | Until Superseded +5 |  | Ionising Radiations Regulations 17 (IRR17) | Ionising Radiations Regulations (SI 2017/1075) Regulation 21(3)(a)Dose records are usually made and maintained by a dosimetry service on behalf of an employer. A dosimetry service provides summaries of dose records to an employer on whose behalf it makes and maintains the records |
| Dose records for unclassified workers | Year created + 60 years |  | Ionising Radiations Regulations 17 (IRR17) | Ionising Radiations Regulations (SI 2017/1075) Regulation 21(7) |
| Record of dosimetry where accident or other occurrence has taken place | Year created + 60 years |  | Ionising Radiations Regulations 17 (IRR17) | Ionising Radiations Regulations (SI 2017/1075) Regulation 23(2)(b) |
| Medical surveillance - health record | Termination + 60 years |  | Ionising Radiations Regulations 17 (IRR17) | Ionising Radiations Regulations (SI 2017/1075) Regulation 24(3) |
| An ‘immediate investigation report’ to determine whether a suspected overexposure occurred | Until Superseded +5 |  | Ionising Radiations Regulations 17 (IRR17) | Ionising Radiations Regulations (SI 2017/1075) Regulation 25(2)(a) |
| Investigation report of an overexposure | Year created + 60 years |  | Ionising Radiations Regulations 17 (IRR17) | Ionising Radiations Regulations (SI 2017/1075) Regulation 25(2)(b) |
| Sealed source leakage test record | Until Superseded +5 |  | Ionising Radiations Regulations 17 (IRR17) | Ionising Radiations Regulations (SI 2017/1075) Regulation 27(3) |
| Investigation of notifiable accidental release or spillage  | Year record created + 30 years |  | Ionising Radiations Regulations 17 (IRR17) | Ionising Radiations Regulations (SI 2017/1075) Regulation 30 |
| Investigation of suspected notifiable accidental release or spillage | Until superseded + 5 years |  | Ionising Radiations Regulations 17 (IRR17) | Ionising Radiations Regulations (SI 2017/1075) Regulation 30 |

# **Environmental Permitting – Radiation**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Description of record | Maximum retention period | Archive | Legal Citation | Regulatory and other requirements |
| Management system to ensure compliance with permits | Until notified in writing by the Environment Agency that records no longer need to be retained. |  | Environmental Permitting. (England and Wales) Regulations 2016 (EPR16) | Retaining previous versions provides evidence of compliance and effective management of health and safety over time. |
| Records demonstrating compliance with the written management system | Until notified in writing by the Environment Agency that records no longer need to be retained. |  | Environmental Permitting. (England and Wales) Regulations 2016 (EPR16) | Retaining previous versions provides evidence of compliance and effective management of health and safety over time. |
| Records of competent persons and resources | Until notified in writing by the Environment Agency that records no longer need to be retained. |  | Environmental Permitting. (England and Wales) Regulations 2016 (EPR16) | Retaining previous versions provides evidence of compliance and effective management of health and safety over time. |
| Records of radiation training | Until notified in writing by the Environment Agency that records no longer need to be retained. |  | Environmental Permitting. (England and Wales) Regulations 2016 (EPR16) | SI 1999/3232 does not prescribe a retention period for these records.Retaining previous versions provides evidence of compliance and effective management of health and safety over time*.* |
| Records of radiation accidents | Until notified in writing by the Environment Agency that records no longer need to be retained. |  | Environmental Permitting. (England and Wales) Regulations 2016 (EPR16) | Ionising Radiations Regulations (SI 2017/1075) Regulation 30 |
| Records of open and sealed radioactive sources | Until notified in writing by the Environment Agency that records no longer need to be retained. |  | Environmental Permitting. (England and Wales) Regulations 2016 (EPR16) |  |
| Records of waste disposals including consignment notes and documentation. | Until notified in writing by the Environment Agency that records no longer need to be retained. |  | Environmental Permitting. (England and Wales) Regulations 2016 (EPR16) |  |
| Records of monitoring, sample analysis, instrument measurements, calibrations, examinations, tests and surveys. | Until notified in writing by the Environment Agency that records no longer need to be retained. |  | Environmental Permitting. (England and Wales) Regulations 2016 (EPR16) |  |
| Records of facilities used for radiation work. | Until notified in writing by the Environment Agency that records no longer need to be retained. |  | Environmental Permitting. (England and Wales) Regulations 2016 (EPR16) |  |
| Previous permits and related records. | Until notified in writing by the Environment Agency that records no longer need to be retained. |  | Environmental Permitting. (England and Wales) Regulations 2016 (EPR16) |  |

# **Environmental Management**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Description of record | Maximum retention period | Archive | Legal Citation | Regulatory and other requirements |
| Records of identified environmental hazards | Elimination of risk or update of assessment + 5 years |  |   | Institutional business requirements. |
| Attainment and maintenance of accreditation | Termination of accreditation + 1 year |  |   | Institutional business requirements. |
| Internal awareness raising | Current year + 6 years |  |   | Institutional business requirements. |
| Records of environmental incidents | Last action + 40 years |  |   | Institutional business requirements. |
| Investigation of environmental incidents | Last action + 40 years |  |   | Institutional business requirements. |
| Notification and reporting of environmental incidents | Notification + 5 years |  |   | Institutional business requirements. |

# **Energy Management**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Description of record | Maximum retention period | Archive | Legal Citation | Regulatory and other requirements |
| Energy use monitoring | Current year + 6 years |  |   | Institutional business requirements. |
| Reviews of energy use | Completion + 6 years |  |   | Institutional business requirements. |

# **Waste Management**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Description of record | Maximum retention period | Archive | Legal Citation | Regulatory and other requirements |
| Controlled waste management  | Removal of waste + 2 years |  | The Waste (England & Wales) Regulations 2011 |  |
| Register of controlled waste | Removal of waste + 2 years |  | The Waste (England & Wales) Regulations 2011 | The Special Waste Regulations (SI 1996/972) Regulation 15(4)The Hazardous Waste (England and Wales) Regulations (SI 2005/894) repealed SI 1996/972 but SI 2005/894 Regulation 51(4) requires registers made under SI 1996/972 Regulation 15(4) to be retained for the period specified here. |
| Hazardous Waste Management  | Removal of waste + 3 years |  | Hazardous Waste (England and Wales) Regulations 2005 | SI 2005/894 Regulation 49(3)The Hazardous Waste (England and Wales) Regulations (SI 2005/894) Regulation 49(1) specifies the content of these records. |
| Register of hazardous waste | Removal of waste + 3 years |  | Hazardous Waste (England and Wales) Regulations 2005 | SI 2005/894 Regulation 49(3)The Hazardous Waste (England and Wales) Regulations (SI 2005/894) Regulation 49(1) specifies the content of these records. |

# **Security Management**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Description of record | Maximum retention period | Archive | Legal Citation | Regulatory and other requirements |
| Requested security inspections | Year created + 6 years  |  |  | Institutional business requirements |
| Crime report  | Year created + 6 years |  |  |  |
| Occurrence report  | Year created + 6 years |  |  | Institutional business requirements |
| CCTV recordings | Maximum of 30 days (unless required as evidence for internal investigations or law enforcement purposes)  |  |  |  |

# **Finance**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Description of record | Maximum retention period | Archive | Legal Citation | Regulatory and other requirements |
| Financial audits | Last action + 6 years | A | Limitation Act 1980 | Institutional business requirements |
| Issue and processing of invoices (non-research)  | Current financial year + 6 years |  | Taxes Management Act 1970 Limitation Act 1980 VAT Act 1994 HM Customs and Excise Notice 700/21 | Taxes Management Act 1970 c. 9 s 34Limitation Act 1980 c. 58 s 5Value Added Tax Act 1994 c. 23HMRC VAT Notice 700/21 para. 5.2 |
| Expenses (non-research)  | Current financial year + 6 years |  | Taxes Management Act 1970 Limitation Act 1980 VAT Act 1994 HM Customs and Excise Notice 700/21 | Taxes Management Act 1970 c. 9 s 34Limitation Act 1980 c. 58 s 5 |
| Petty cash | Current financial year + 6 years |  | Limitation Act 1980 VAT Act 1994 HM Customs and Excise Notice  | Limitation Act 1980 c. 58 s 5Value Added Tax Act 1994 c. 23HMRC VAT Notice 700/21 para. 5.2 |
| Preparation of annual accounts | Life of organisation + 6 years |  | Taxes Management Act 1970Limitation Act 1980 | Limitation Act 1980 c. 58 s 5 |
| Annual statutory body funding | Current financial year + 10 years |  | Limitation Act 1980  | Institutional business requirements |
| Financial records relating to research grants and contracts | Closure of project account + 20 years |  | Limitation Act 1980 | Limitation Act 1980 c. 58 s 5 |
| Scholarship funds | Current financial year + 6 years (or in line with funder requirements)  |  | Limitation Act 1980 | Limitation Act 1980 c. 58 s 5 |
| Tax returns | Current tax year + 6 years |  | Taxes Management Act 1970 | Taxes Management Act 1970 c. 9 s 34 |
| Bank account administration | Closure of account + 6 years |  | Taxes Management Act 1970Limitation Act 1980 | Taxes Management Act 1970 c. 9 s 34Limitation Act 1980 c. 58 s 5 |
| Standing orders, direct debits | Life of instruction + 6 years |  | Taxes Management Act 1970Limitation Act 1980 | Taxes Management Act 1970 c. 9 s 34Limitation Act 1980 c. 58 s 5 |
| Investment portfolio | Divestment + 6 years | A | Limitation Act 1980 | Limitation Act 1980 c. 58 s 5 |
| Purchase/sale of investments | Current financial year + 6 years |  | Taxes Management Act 1970 | Taxes Management Act 1970 c. 9 s 34 |
| Capital assets value | Current financial year + 6 years |  | Taxes Management Act 1970 | Taxes Management Act 1970 c. 9 s 34 |

# **IT Security Management**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Description of record | Maximum retention period | Archive | Legal Citation | Regulatory and other requirements |
| IT systems management | Decommissioning of system + 5 years |  |  | Institutional business requirements |
| Software licences management | Whilst current |  |  | Institutional business requirements |
| IT security arrangements | Decommissioning of system + 5 years |  |  | Institutional business requirements |
| User accounts | Closure + 1 year |  |  | Institutional business requirements |
| System monitoring | Current year + 1 year |  |  | Institutional business requirements |
| Security breaches | Closure + 10 years |  |  | Institutional business requirements |

**Contact details for queries related to this document**

|  |  |  |  |
| --- | --- | --- | --- |
| Role | Name | Telephone | Email |
| Head of Information Governance | Alice Temple | 0113 34 37641 | a.c.temple@leeds.ac.uk |

**Review Date:**

**Related policies and procedures:** Code of Practice on Data Protection

**Appendix 1** – Core Academic data to be kept in perpetuity

Student name and date of birth

Student ID, HESA ID

Start date, leaving date and status at leaving

Programme of study, modules studied and module marks awarded, title of thesis for postgraduate research students.

Student activities recorded in the Higher Education Achievement Report (HEAR) since 2009

Professional accreditation, advanced academic standing and external institutions if information is recorded in student record.

Location of Placement(s) (where required by professional body or external agencies)

**Appendix 2 – Data to be retained (select employee record)**

**Employees involved in research**

The following data attributes should be kept for **employees involved in research for 26 years** to satisfy any requirements to research grant providers and to provide evidence for an REF audit, in addition to being able to provide references and ensure employees who left under a settlement agreement, with the understanding they should not be permitted to return, do not successfully reapply:

|  |
| --- |
| University/ Employee ID Number |
| Legal Name |
| Last Name |
| First Name |
| Middle Name |
| Date of Birth |
| Start Date |
| Leaving Date |
| Status at Leaving |
| Role/ Position |
| Research Outputs |
| Exclusion Status/ Information pertaining to exclusion/ settlement agreement |

**Employees involved in the PAS pension scheme**

The following attributes should be retained until the pension of the employee finishes plus 3 years, **for those involved in the PAS pension scheme**:

|  |
| --- |
| Deceased Status |
| Contributions to Pension |
| Unpaid Absences |
| Paid absences |
| Salary History |
| Other compensation history |
| Working hours history |
| Spouse contact details |
| Email Address |
| Telephone number |

**Appendix 3 –** Data subject definitions

**Employee Data Subjects**

Enquiries and Prospects*:*

An individual who shared their data with the University of Leeds showing an active interest in applying for an employee position including:

•Subjects that created a Careers at the University of Leeds account, started making an application but never submitted

•Subjects that created a Careers at the University of Leeds account, did not start making an application but signed up for job alerts

•Subjects that created a Careers at the University of Leeds account that did not start making an application and did not sign up for job alerts

Unsuccessful Applicant Employee:

An individual who applied for an employee role at the University of Leeds but never signed a contract and therefore an SAP account was not created including:

* Subjects who applied for a position and were rejected by the University of Leeds
* Subjects who applied for a position, received an offer of employment but rejected it
* Subjects who applied for a position, received an offer, initially accepted but did not end up signing an employment contract
* Subjects who are already an employee at the University but who applies on Stonefish and does not connect their existing employee record to their application

Former Employee

An individual who used to be employed by the University of Leeds therefore had an SAP account but no longer holds an active contract including:

* A former employee who worked for a period at the University
* A subject who accepted an offer, signed an employment contract, got an SAP account created but never worked at the University
* Contractors, consultants, agency staff and any other 3rd party employees
* Students who have worked at the University and therefore have an employee record

**Students data subjects**

Enquiries and Prospects

An individual who has shared their data with the University of Leeds showing an active interest in applying for a course (undergraduate, postgraduate and other). It may or may not be known to the University if they ever completed an application. This can include (non-exhaustive):

* Subjects that requested a prospectus (download/ mail versions) and download any online guides e.g. The Postgraduate Guide from the University of Leeds website
* Subjects that have shown interest in/ attended an Open Day/ Faculty Day
* Subjects that attended a UCAS event exhibition and showed interest in applying for the University of Leeds
* Subjects that attend agent fairs and other 3rd party events/ exhibitions
* Subjects that contact the University directly via e-mail or telephone
* Subjects that exchange their contact information in exchange for student information on the University

Unsuccessful Applicant Student (UG and PG)

An individual who applied for a course at the University of Leeds but who never eventually came to study, including (non-exhaustive):

* Subjects who applied for a course and were rejected by the University
* Subjects who began to apply for a course therefore shared data with the University but never submitted their application
* Subjects who applied for a course, received an offer and did not accept the offer
* Subjects who applied for a course, received an offer, accepted an offer but did not attain the necessary conditions to fulfil their offer
* Subjects who applied for a course, received an offer, accepted an offer, attained the necessary conditions for their offer/ received an unconditional but who never came to study (no-show or last-minute drop outs)

Former Student

An individual who was registered on a course but that is no longer studying at the university, including:

* Any student who graduated from the University of Leeds with an UG/PG degree
* Any student who completed a course at the University that is not an UG/PG degree
* Any student who came to study at the University and completed any modules/ attained grades but did not eventually graduate
* Any student who took part or completed modules as part of a Study Abroad programme
* Any student who came to study, did not complete any modules/ attain grades (including those who have registered and then have withdrawn) but used University facilities

**Appendix 4 – Archival Management Process**

1. HR representative seeking purge of HR files to send by email the names on the personnel files affected to the relevant Head of School and University Secretary.
2. Head of School or University Secretary have 7 calendar days to respond if they wish to hold back any of the files.
3. If no response received from Head of School or University Secretary assume purge of the files can continue in accordance with the normal retention criteria. If Academic or Administrative staff falling within categories detailed under (a) or (b) below, then special arrangements will apply as described under 4:
	1. a)  Academic: those who were Deans or Pro-Deans of Faculties, or Professors or Heads of Department/Institutes (of Chairperson, Director), Emeritus or Honorary Professor, or Fellow of their respective professional Society/Institute
	2. b)  Administrative: the University’s Executive: the Vice Chancellor, the Deputy Vice-Chancellors, the Pro-Vice Chancellor, Chief Financial Officer, Chief Operating Officer, Secretary, Marketing Director, Directors of Human Resources and Facilities Management.
4. HR Representative to forward (i) job applications and (ii) CVs for staff falling

within a) or b) above to the University’s Special Collections for retention by the University’s Archive.

1. If a response by either Head of School or University Secretary indicating

certain personnel files to be “pulled” from the purging exercise. “Pulled” files

sent to Head of School/University Secretary for consideration.

1. Head of School/University Secretary review contents of “pulled” files in consultation with University Archive.
2. If Head of School/University Secretary require part or all of the “pulled” file to be retained, then the material to be retained to be sent by the Head of School/University Secretary to the Library’s Special Collections for retention in the University Archive.
3. If “pulled” file only in part to be retained, Head of School/University Secretary will send back relevant material to HR to follow retention guidelines.