GHANA COMMUNICATION TECHNOLOGY UNIVERSITY (GCTU)

RECORDS AND ARCHIVES MANAGEMENT POLICY

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PART 1: GHANA COMMUNICATION TECHNOLOGY UNIVERSITY RECORDS MANAGEMENT POLICY

1.0 Purpose

It is the department, sub-units or other high-level area of the University that owns the record and is ultimately responsible for its retention and disposal. The Record Owner is usually responsible for the implementation of their section of the Records Retention Schedule wherever it may apply across the University, including ensuring that all relevant Information Asset Owners are fully apprised of their requirements of the Retention Schedule and apply it accordingly. This may include auditing compliance. In coordination with the Secretary's Office, they are responsible for reviewing and developing this document.

2.0 Definitions and Interpretation

For record purposes, there are standard definitions included in ISO 15419 - Information and Documentation - Records Management General and other international records and archives management glossaries. Based on these, the following definitions apply:

(a) **Accountability:** The principle that individuals, organizations, and the community are responsible for their actions and may be required to explain them to others

(b) **Archives:** Those records that are appraised as having continuing value and have been selected for permanent preservation but are no longer required for current administrative use. A further definition is the place where archives materials are kept.

(c) **Business Activity:** A term covering all the functions, processes, activities and transactions of an organization and its employees.

(d) **Capture:** A deliberate action which results in the registration of a record into a recordkeeping system.

(e) **Destruction: The** process of eliminating or deleting records, beyond any possible reconstruction.

(f) **Disposal:** The final decision concerning the fate of records, i.e. destruction or transfer to archives.

(g) **Disposition:** The range of processes associated with implementing records retention, destruction or transfer decisions which are documented in disposition authorities or other instruments.

(h) **Document:** Recorded information or subjects which can be treated as a unit.

(i) **Electronic Records:** Any records that are created or stored by digital means. These include databases and e-mails.

(j) **Finding Aids:** Descriptive tools published or unpublished, manual, or electronic, produced by the Archives to record /or archive materials.

(k) **Governance:** The systems, structures, processes and rules that an organization uses to make decisions, act, manage resources and monitor progress.

(l) **Records:** 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.

(m) **Records Centre:** A centralised area for housing and servicing inactive records whose reference rate does not warrant their retention in prime office space.

(n) **Record Keeping:** The creation and maintenance of complete accurate and reliable information.

(o) **Records Management: The** field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records.

(p) **Retention Period:** The length of time that records must be kept according to operational, legal, regulatory and fiscal requirements.

(q) **Retention Schedules:** A systematic listing of records created by an organisation or agency which plans the life of their records from the time of their creation to their disposal.

(r) **University Record:** Any record created or received by staff of the University in the course of conducting their University duties.

(s) **Vital Records:** Records, usually irreplaceable, which are necessary to the continued operation of an organization.

3.0 Scope

This policy applies to all employees of the University and to all contracted service providers and other parties who work for, or on behalf of, the University. It applies to all aspects of the University's business, including all records (files, emails, memoranda, minutes, audiovisual materials, and any other documents) created or received because of transactions, research, teaching and learning, student administration and student services and all applications that

generate records including electronic records. It also applies to all confidential and classified records.

4.0 Policy Statement

Records Management provides systematic and cost-effective control of the University's records from their creation to their final disposition and is meant to:

(a) Comply with legislative requirements, policy, and recognized standards of best practices

(b) Protect the University's vital records.

(c) Dispose of the University's non-vital records in an organized and efficient way

(d) Regulate, and make uniform the creation, maintenance and disposition of records

(e) Provide appropriate security and access to University records

(f) Capture and preserve the University's historical documents

5.0 Records as Knowledge Assets

Records of the University's actions and decisions are knowledge assets and are a vital part of the University's corporate memory. Managing these assets in an efficient way can help to save time and money by ensuring that vital information can be located when it is needed. Easy retrieval of the valuable information held in the University's records is good business practice. Protecting this information, so that it is not lost or destroyed while it is still needed, is essential to accountability. It is also essential to protect the University's and the Community's interests, and their rights and entitlements. The University also has responsibility to maintain the security, confidentiality and the privacy of the information resources it holds.

6.0 Ownership of Records

6.1 Records created or received during the normal course of University business are the property of the Ghana Communication Technology University, and all employees are responsible for ensuring that records are managed in accordance with the University's policies and the applicable laws of Ghana.

6.2 If any University employee carries out University business from a private email account, the documents that arise from that University business are University records and shall be managed in accordance with this policy.

6.3 University employees leaving or relinquishing their positions with the University shall leave all official records (paper or electronic) for their successors. The officers shall follow the

instructions of the University Archivist for the management of their records in advance of their departure.

7.0 Record Creation, Capture and Classification

7.1 Record Creation

The University shall ensure that records are created, acquired, and maintained to meet policy, programme, service, business, and accountability requirements and to guarantee they are relevant, reliable, and complete and comply with this policy and with National and International Standards on Records Management.

7.2 Record Capture

The University shall ensure that all records created or received in the course of University business are captured in record keeping systems with sufficient information (metadata) about the record and its record keeping system, to enable the records to be understood and used for as long as it is needed to transact University business.

7.3 Record Classification

7.3.1 The University shall classify records captured in record keeping systems so that their existence and key identifying information are documented.

7.3.2 University offices shall ensure that classification systems of records are managed and monitored by appropriate officers to ensure their effectiveness, accuracy, and sustainability.

7.3.3 Sensitive records of the University shall be classified according to provisions of Circular Number SCR-0062/SF.9 of the Civil Service as follows:

(a) **Top Secret:** Records known only to a very small number of authenticated members of staff. Usually, letters or correspondence classified as such must be addressed to an officer by name and opened by the addressee personally.

(b) **Secret:** Records or information considered sensitive and not meant for widespread dissemination. Examples: sensitive intelligence sources, critical infrastructure security plans and personnel records with sensitive duties.

(c) **Confidential and Sensitive:** Available only to authorised and authenticated members of staff. Examples: business contracts and agreements, certain research findings, financial data, security procedures, internal organisational policies, employees' or staff records,

students' records-transcripts/certificates, internal investigations, customer information and student records etc.

(d) **Restricted:** Access to the record is limited to a specific group of individuals or parties, and unauthorised access is typically prohibited. Examples: Sensitive project documentation, vendor contracts and negotiations, legal documents, employee performance reviews, specific client information, security protocols for limited areas, drafts of proposals or reports and internal Investigation details etc.

8.0 Teaching and Use of Records

8.1 The records management system of the University recommends the following classification scheme for categorising records generated within the University, considering access levels and confidentiality *(Table 1):*

Table 1: Record Classification Schemes with Respect to Access

S/N	Access Classification	Definition	Persons to Access the Record
1.	Public Access	Accessible/may be viewed by anyone within or outside the university community without any restrictions	Parents, prospective students, alumni, external stakeholders, general public etc.
2.	Open Access	Accessible/available to all authenticated members of University staff	Administrative and Academic staff of the university
3.	Confidential	Accessible/available only to authorised and authenticated members of staff	Only authorised staff e.g. HoDs
4.	Confidential & Sensitive	Access is controlled and restricted to a small number of named, authenticated members of staff	Top management/Key officers/Any staff under authority
5.	Secret	A record known only to a very small number of authenticated members of Staff	Top management/Key officers

8.2 The access levels are to safeguard the confidentiality, integrity and security of GCTU records. These levels are typically administered through secure systems, contingent on an individual's role and responsibilities within the University, thereby restricting access to sensitive information to authorised personnel only.

8.3 Records, irrespective of their format, are required to conform to the University's Records and Archives Management Policy and guidelines on data protection. Whether in physical or digital storage, the emphasis should be on prioritising safety and security. Additionally, due consideration must be given to preserving crucial information in a format that is both usable and aligned with the frequency of access requirements.

8.4 The University shall provide guidelines and procedures for tracking University records from time to time.

8.5 The University shall ensure that access and usage controls are appropriate to the nature of University business and the records generated.

8.6 The ICT Directorate will be tasked with designing digital systems responsible for generating or storing records. These systems will incorporate audit trails to track the history of records, documenting any access or modifications. The design of these digital systems will be coordinated to align seamlessly with both the ICT museum and the Archives.

8.7 The Records Retention Schedule shall guide the management of the University's records in line with this policy *(Refer to the Records Retention Schedule V.01).*

9.0 Off-Site Storage and Scanning/Electronic Records

9.1.1 Owing to limited storage space for hard-copy records, the University shall consider an off-site storage provider through a contracted arrangement. While this can be a cost-effective method, thoughtful consideration is necessary for the selection of records for off-site storage, especially regarding the speed and frequency of potential access. Retrieval of records incurs additional costs, and there may be a slight delay in the process.

9.1.2 The University shall ensure that electronic records are migrated to a new generation of systems whenever there is technological obsolescence.

9.1.3 Information and records created or received digitally shall be maintained in the digital format throughout the information life cycle. Where a hard copy is made, the digital copy shall be the official copy, unless otherwise provided.

9.1.4 The same safeguards and controls over information stored electronically apply to information created and maintained in paper form.

9.1.5 Where paper records are digitised, the original record shall be the paper record unless otherwise provided.

10.0 Storage and Protection

10.1 The University shall create appropriate records and archives storage facilities and conditions so that records and archives are always protected and accessible when required.

10.2 The University shall put in place standards, procedures and guidelines on storage facilities.

10.3 University offices shall ensure that they provide adequate storage space, supplies, equipment and other resources necessary for safekeeping of their records.

10.4 University offices shall ensure that storage facilities and systems are capable of protecting records against fire, flood, environmental hazards, unauthorized access and other risks.

11.0 Vital Records Protection

11.1 The University shall develop and approve vital records and business recovery plans for the University.

11.2 The University shall ensure that vital records and business recovery plans include the provision of any necessary hardware, software and procedure manuals to enable the records to be accessed and used.

11.2 University offices shall manage and implement the vital records and business recovery plans according to standards and guidelines issued by the University.

12.0 Personnel Records

12.1 The University shall ensure that all personnel information that document decisions, actions and processes affecting employees is recorded and properly stored and managed.

12.2 The University shall ensure that Master files are created and properly managed to document core records of service, basic personal details and all records that are needed to document the legal and contractual relationship between the employer and employee.

12.3 All University employees shall be responsible for the custody of copies of their personal records related to their employment history.

13. 0 Access to Records

The University shall ensure that access to all University records is consistent with relevant legislative requirements as well as any legally enforceable rights of access.

14.0. Maintenance of Individual Privacy

The University shall ensure that personal information shall be collected lawfully and fairly and shall be safeguarded from unauthorised access, use, disclosure, modification, or loss in compliance with all existing privacy legislations.

15.0 Disposition of Records

15.1 The University shall develop and implement records retention and disposal schedules that comprehensively cover all University records and archives, regardless of format or media (*Refer to the Records Retention Schedule, V.01, Appendix I*).

15.2 Inactive University records shall be stored in the University Records Centre which offers departments a centralized high-density, low-cost storage facility where inactive records shall be stored, retrieved, and destroyed once the legal retention period has passed.

15.3 Before disposing of a record upon reaching its retention period, a decision must be made, with three possible outcomes:

(a) *Reappraisal:* Assessing whether to permanently preserve or destroy the record at the conclusion of its retention period.

(b) *Permanent Reservation/Sending to University Archive:* Opting to permanently preserve the record by sending it to the University archive for archival purposes.

(c) *Destruction:* Choosing to dispose of the record in a secure and appropriate manner.

15.4 In destroying the records, the following methods of disposal considering the confidentiality of the record and adhering to the Records Classification Scheme shall be as follows *(Table 2)*:

Table 2: Disposal Methods for Hardcopy Records

Record Classification	Method of Disposal
Public	Can be disposed of in ordinary waste or recycling bins
Open	Certain records in this category can be disposed of in regular waste and recycling bins, while others necessitate disposal in dedicated confidential waste bins under controlled conditions or through shredding and placement in paper rubbish sacks for collection by the University's contracted disposal firm. The disposition of open records should be evaluated individually, but if uncertainty arises, the latter disposal method is recommended.
Confidential	These records must either be disposed of in dedicated confidential waste bins under controlled conditions or shredded and placed in paper rubbish sacks for collection by the University's contracted

	disposal firm
Confidential and Sensitive	Must be disposed of in dedicated confidential waste bins or shredded and placed in paper rubbish sacks for collection by the University's contracted disposal firm. If the record is subject to a contract or agreement, then these must be checked for any further requirements.
Secret	Must be disposed in dedicated confidential waste bins or shredded and placed in paper rubbish sacks for collection by the University's contracted disposal firm. Such information may have further requirements for secure disposal; for example information provided under the Official Secrets Policy.

15.5 Records in the University Records Centre remain under the control of the depositing departments and shall be retrieved only by that department as needed. Records in the University Records Centre are not available for research except by staff of the depositing department or with the written permission of the depositing department. Once records reach their legal retention date, they must be removed from the University Records Centre and either destroyed or deposited in the University Archives for permanent retention.

15..6 University offices shall seek approval of the University Archivist before destroying any University record(s) and transfer records of enduring value to the University archives as provided for in the retention and disposal schedules.

15.7 Records identified as University archives shall be managed in accordance with the University's Records and Archives Management Policy.

16.0 Record Keeping Roles and Responsibilities

16.1 The Registrar

The Registrar as the Chief Operating Officer of the University, under the Vice-Chancellor, has general responsibility for ensuring that appropriate policies and procedures are in place to ensure compliance with best practice record keeping standards and legislative requirements under the Public Records and Archives Administration Act, 535 and other relevant legislation.

16.2. Senior Academic and Administrative Heads.

16.2.1 Senior academic and administrative heads who have managerial responsibility for organizational areas within the University are to ensure that staff in their departments create and

keep records as an integral part of their work and in accordance with this policy and associated procedures.

16.2.2 In compliance with this policy, heads of academic and administrative units shall provide the University Archivist or his or her representative with reasonable access to and an opportunity to examine all University records in their custody.

16.3 The University Archivist

The University Archivist under the Registrar is responsible for the overall development and maintenance of record management throughout the University. The role of the Archivist includes but is not limited to the:

(a) Provision of advice, training and ongoing assistance for staff assigned with record management responsibility.

(b) Development and maintenance of retention schedules in conjunction with department staff and monitoring the maintenance of and compliance with those schedules.

(c) Management and operation of the University Records Centre and retrieval of records upon the request of the depositing department

(d) Arrangement for destruction of records stored in the University Records Centre according to approved retention schedules and only with the written consent of the depositing department.

(e) Promotion of appropriate record keeping practices throughout the University through the provision of staff training.

(f) Assistance in the preparation and protection of University records in the event of a disaster.

16.5 The Records and Archives Advisory Committee

The Records and Archives Advisory Committee will:

(a) Provide advice to the Registrar on records and archives management.

(b) Promote greater institutional support for records and archives management programme activities.

(c) Act as the policy approval and advocacy body in the review and approval of University's records retention and disposition schedules.

16.6 Composition of Membership

The Membership of the Records and Archives Advisory Committee shall comprise:

    (a) The Registrar

    (b) University Librarian

    (c) University Archivist

    (d) One representative each from:

- Directorate of Academic Affairs
- Directorate of General Administration and Operations
- Finance Directorate,
- Directorate of Human Resource and Organizational Development
- Internal Audit Directorate
- Legal Unit
- Directorate of Information Communication Technology

The Registrar shall be the Chairman of this Committee.

16.6 Faculty, School, Department or Unit shall:

16.6.1 Manage records whether maintained in the office area or stored in the University Records Centre, in accordance with University requirements, applicable laws, and retention schedules developed in conjunction with records management staff and approved by the University Records and Archives Committee.

16.6.2 Designate professional Records Coordinators shall liaise with the University Archivist to do the following:

    (a) Inventory office files and office records keeping systems, with assistance from the University Archivist.

    (b) Develop and maintain retention schedules, which list the legal period within which time records must be retained.

    (c) Coordinate records deposited in the University Records Centre

    (d) Act as a central point for records retrieved from the University Records Centre.

    (e) Facilitate the disposition of records at the end of their legal retention period.

    (f) Coordinate access to department records by non-department staff.

    (g) Review department retention schedules annually for required updates and changes.

    (h) Keep a record of all records destroyed.

16.6.3 Ensure that information of confidential nature is protected from unauthorized disclosure until final disposition and that such records are destroyed by a means that prohibits reconstruction of the information or, in the case of electronic records are properly deleted or purged

16.6.4 Prior to disposition, verify if there is no audit, subpoena, current or anticipated investigation or pending legal action or proceeding that would prohibit the destruction of records, even if the scheduled retention period has expired.

16.6.5 Assist in identifying and preserving records of vital and enduring/archival value to the University.

17.0 Employees of the University

17.1 All employees of the university are responsible for:

(a) Complying with Ghana Communication Technology University documented records management procedure

(b) Creating full and accurate records of activities and transactions in decisions carried out during the cause of daily business activity.

(c) Ensuring that such records are maintained in the University records management system, and handling records with care and efficiency so as not to damage them or compromise their integrity.

(d) Preventing unauthorized access to records

(e) Ensuring that no records are destroyed or removed unless permitted by current disposal schedules.

17.2 The University Archivist shall ensure that all staff members are aware of the records management policy and shall conduct or arrange such training as is necessary for the staff to equip them for the records management duties.

18.0. Regulatory Framework and Standards

18.1 Relevant legislation for which this policy complies includes but is not limited to

(a) Public Procurement Regulations, 2022

(b) Ghana Communication Technology University Act 2020 (Act 1022) and Statutes of the Ghana Communication Technology University

(c) Right to Information Act, 2019 (Act 989)

(d) Financial Management Regulations, 2019 (LI 2378)

(e) Public Procurement Amendment Act,2016 (Act 914)

(f) Public Financial Management Act,2016 (Act 921)

(g) Data Protection Act, 2012 (Act 843)

(h) Internal Audit Agency Act 2003 (Act 658)

(i) Public Records and Archives Administration Act,1997 (Act,535)

(j) Evidence Decree,1975 (N.R.C.D.323)

(k) Limitation Decree, 1972 (N.R.C.D 54)

(l) The State Secrets Act,1962 (Act,101)

(m) State Property and Contract Act,1960 (CA6)

18.2 Standard

This policy complies with the International Standard on Records Management ISO 15489.

19.0. Monitoring and Review

This policy shall be regularly monitored and reviewed to ensure that it remains relevant to the University's business, aims and requirements and applicable laws. Staff compliance with the policy and associated procedures will be monitored on an ongoing basis through staff self-assessment and Heads of Departments, and the University Archivist/Records Manager. This policy will be reviewed every five years.

20.0. Approval of Policy

This policy shall be approved by University Council and the date of Approval stated.

PART 2: GHANA COMMUNICATION TECHNOLOGY UNIVERSITY ARCHIVES MANAGEMENT POLICY

1.0 Policy Statement

The University is committed to preserving its history in the University Archives under the direction of the University Archivist. Records of enduring historical value are those which document the history, organization, policies and activities of the University.

In general records have enduring value if they contain evidence of the University's organization, function, policies, decisions, procedures, operations, or other activities, or because of their informational value. Examples of such records are those containing information developed in preparation of position papers, reports, and studies; reflecting official actions taken in the course

of University business; conveying information on University programmes, policies, decisions, and essential transactions; documenting oral exchanges, such as meetings or telephone conversations, during which policy was discussed or formulated or other University activities were planned, discussed or transacted. Policies related to University records not determined to be of permanent value may be found in the University Records Management Policy.

Records may be in any physical format including but not limited to paper, microforms, photographs, drawings, maps, motion picture film, and electronic records maintained in magnetic or optical format such as databases, e-mail, voicemail, CDs and DVDs, Videotapes and audio tapes, computer discs, and word processing documents.

2.0 Case Specific Categories of Permanent/Archival Records

Specific categories of permanent/archival records include but not limited to:

Records of the University administration and University Council, Boards and Committees.

(a) Minutes, correspondence and reports of Schools, Institutes and Departments

(b) Papers of faculty, staff and alumni

(c) Curriculum information including continuing and distance education.

(d) Publications

(e) Photographs, slides, videotapes and motion pictures

(f) Thesis and dissertations

(g) Newspaper Clippings

(h) Memorabilia

3.0 Responsibility of the University Archivist

The University Archivist is the official custodian of records holdings in the University Archives.

4.0 Records and Archives Advisory Committee

(Ref. Section 5.4 - 5.4.1 of the Records Management Policy)

5.0 Responsibilities of the Faculty, School, Centre, Institute, Department or Academic Unit

The Faculty, School, Centre, Institute, Department, or Academic Unit Shall:

5.1 In consultation with the University Archivist, assist in identifying and preserving records of enduring/archival value of the University.

5.2 Provide the University Archives with two copies of every publication produced including bulletins, newsletters, invitations, programmes and memorabilia.

5.3 Select and preserve a database received or created in the course of research activities.

5.4 Select and preserve appropriate email for which the responsibility rests with the creator or receiver.

6.0 Responsibilities of the University Archives

The Archives will:

6.1 Acquire and preserve records of enduring value produced by University offices, faculty, students and alumni.

6.2 Arrange and describe those records and make them accessible in accordance with established archival standards.

6.3 Serve as information resource centre to assist the University community with research projects.

6.4 Encourage and assist the University community to recognize and make use of its institutional documentary heritage through exhibits, presentations and published resources.

6.5 The Archives may accept donations of documents, photographs, memorabilia and other record materials that help to tell the story of the University from its students, faculty and staff.

6.6 Encourage and facilitate academic research through the preparation of finding aids and specialized research tools and the provision of reference services.

7.0 Placement of the University Archives

The University Archives shall be placed under the Registrar's Office as a Department or Unit

7.1 Access

University archives are public records and once fully processed are generally open to research use, in accordance with the Public Records and Archives Administration Law and University policy. Records that contain personally identifiable information will be restricted in order to protect individual privacy. Certain administrative and academic records are restricted. The restriction of University records is subject to compliance with applicable laws and statutes.

8.0 Approval of the Policy

This policy shall be approved by the University Council and the date of approval stated.

APPENDIX

Appendix 1: Records Retention Schedule

Summary	
This Records Retention Schedule provides guidance to all sectors within the University regarding the recommended durations for various record categories. It considers legislative and regulatory obligations, best practices, existing policies and procedures, as well as operational necessities.	
Scope	
The schedule is applicable to every department within the University and serves as formal guidance for all staff members, outlining the recommended durations for retaining different categories of records in their respective area.	
Document Control	
Document Type	Records Retention Schedule
Document Owner	University Archivist
Division	Office of the Registrar
Document Status (Approved/Not Approved)	
Version	V1.0
Approved By	
Approval Date	
Date of Publication	
Next Review Date	
Revision Frequency	
Related Document (To be Used With)	Records and Archives Policy

Introduction and Guidance Note

This document provides guidance to various departments within the University on optimal retention periods for diverse record categories. It takes into account legislative mandates, best practices, current policies, and operational needs. Serving as formal guidance for staff, the Records Retention Schedule aligns with the Ghana Communication University Records and Archives Policy. It encourages adherence to recommended retention periods for records across faculties, schools, departments, institutes, centres and Information Asset Owners.

The recommendations apply to both hard copy and digital formats and should be used in conjunction with other relevant university policy documents. Adhering to the schedule ensures effective record management in compliance with legal requirements, business needs and sector best practices. While the schedule may not cover all record categories, it serves as a tool for units to create their own retention schedules based on information asset registers and guidelines provided.

The document is organised by sections corresponding to different university divisions, services, or functions, acknowledging that records may be held both within and outside the listed units in practical terms.

The Records Retention Schedule includes the following information:

(a) Record Description

The classification or category of a record or asset, applicable universally to all record formats, including hard copy, digital and any other formats.

(b) Retention Period

GCTU advises on the optimal duration for retaining records. Retention periods are typically expressed as the initial period plus the additional years the records should be preserved. This timeframe may vary based on the record category, encompassing academic, financial, or calendar years.

(c) Action at End of Retention Period

Three potential disposal outcomes exist for all records, with the possibility of encountering non-standard guidance for specific records.

(d) Record Owner

The Record Owner, identified as a **division, sub-division, or high level** unit within the University, holds ultimate responsibility for specific records. Their role involves overseeing the implementation of the Records Retention Schedule across the University, ensuring relevant Information Asset Owners understand and comply with their obligations. Collaborating with the Secretary's Office, the Record Owner reviews and develops the retention schedule.

It is important to note that records under the Record Owner's purview may also exist in Schools, Faculties and other University areas. To effectively implement the schedule, Record Owners must ensure that records they are responsible for, regardless of location, adhere to the retention and disposal guidelines. While collaboration with other University areas is essential, operational compliance lies with the individual School, Faculty, or relevant unit holding the information. Record Owners should liaise with heads of relevant units to ensure successful implementation.

For further assistance and guidance on the Records Retention Schedule, contact the University Archivist Office.

(e) Disposal

When a record reaches the end of its retention period, a decision must be made regarding its disposal, with three possible outcomes:

(f) Repraisal (Reappraise)

Prior to initiating the destruction of a record at the conclusion of its designated retention period, a reassessment of the necessity for its prolonged retention must be conducted. This reassessment may lead to the identification of an extended retention period, permanent retention or the decision to proceed with destruction.

(g) Permanent Preservation/Retain Permanently/Send to University Archives

Certain records within the University should be preserved permanently due to their enduring Records with long-term evidential or historical significance, These are recommended to be sent to the University archives for permanent preservation. Procedures for preserving and transferring such records to the archives should be made available on the University website.

Due to space constraints in on-site archive facilities, an alternative option is to use the Restore service, offering secure off-site storage and digitisation/scanning capabilities for hard-copy

records as a substitute for on-site storage. This service provides a viable solution for managing records with enduring value. Information on arrangements for permanent preservation and archival transfer is accessible through the University Archives Office website.

The following records shall merit permanent preservation:
- (a) Records that articulate policy formation
- (b) Records illustrating the evolution of the University's physical infrastructure
- (c) Records providing evidence of significant decisions or precedents
- (d) Records displaying the evolution of the relationship between the student body, academic departments and corporate functions
- (e) Records documenting the University's interactions with external parties and stakeholders, showcasing its position in the local, national and international community
- (f) Records portraying the development of academic departments and corporate divisions
- (g) Documents related to the University's charter, statutes, ordinances and regulations, encompassing agendas, minutes, supporting documents and reports linked to senior committees and decision-making bodies.

Destruction (Destroy)

The duty of ensuring the prompt and secure destruction of records lies with the Information Asset Owner. The process of destruction must meticulously take into account the confidentiality of the record, employing the University's Information Classification Scheme and other relevant policies as guiding principles. In instances where it is applicable, records that document the destruction of records should be retained, and the Records Disposal Form (*See Appendix 2*) can be utilised for this purpose.

The destruction process must be conducted in accordance with the access level and confidentiality of the record as specified in **Table 2** (Section 15.4 of Records and Archive Management Policy).

Records Retention Schedule - Record Categories and Retention Schedules

1.0 Governance

S/N	Record Description	Retention Period	Action at End of Retention Period	Record Owner
1.1 Constitutional Documents				Governance Team
1.1.2	Charter and Statutes	Retained permanently	Send to University archives	
1.1.3	Ordinances and Regulations – final copy	Retained permanently	Send to University archives	
1.1.4	Ordinances and Regulations – working papers for each edition	Publication + 8 years	Destroy	

1.2 Official Publications				University Relations Directorate
1.2.1	Official University publications, including annual reports and financial statements, prospectuses and formal publications for students.	Single Copy retained permanently	Send to University archives	
1.2.2	Records detailing the design, commissioning, editing and production of an official publication covered by 1.2.1	Issue of publication + 8 years	Destroy	
1.3 Committees, Boards, Working Groups				Governance Team
1.3.1	Membership and appointment records	End of an individual's tenure +6 years	Destroy	
1.3.2	Ballot papers for elections	Completion of election + 4 months	Destroy	
1.3.3	Registers of interests	End of an individual's tenure + 6 years	Destroy	
1.3.4	Agendas, minutes and papers for committees listed in statutes and ordinances, major University, Faculty and School committees and major committees within institutes	Retain permanently	Send to University Archive	
1.3.5	Agendas, minutes and papers for all other committees and working groups	End of current academic year + 6 years	Reappraise for further retention or destruction	
1.3.6	General working and organisational papers relating to committee business	End of current academic year + 6 years	Destroy, except for especially significant committees. For very significant committees reappraise for further retention or destruction.	
1.4 Strategies, Policies and Procedures (Some of these records will be held as part of committee papers and minutes (See 1.3); records held in this section will be considered the master copy and retained as such.				Governance Team

1.4.1	Final major strategy documents	Retained permanently	Send to University Archives	
1.4.2	Working/informative papers used in developing and updating major strategies	Issue of strategy + 3 years	Destroy	
1.4.3	Final plans for implementing major strategies	Until superseded by new plan + 5 years	Destroy	
1.4.4	Working/informative papers used in developing and updating plans for implementing major strategies (e.g. analyses, management information reports, benchmarking exercises and performance monitoring)	Issue of plan + 3 years	Destroy	
1.4.5	Final policy documents	Until superseded by new policy + 10 years	Reappraise for further retention or destruction	
1.4.6	Working/informative papers used in developing and updating policies	Until superseded by new policy	Destroy	
1.4.7	Final procedures and guidance documents	Until superseded by new procedure/guidance note + 5 years	Reappraise for further retention or destruction	
1.4.8	Working/informative papers used in developing and updating procedures and guidance	Until superseded by new procedure/guidance notes	Destroy	
1.5 Relations with Government and Statutory Bodies				Governance Team
1.5.1	General communications with government, parliamentary or statutory bodies, including HEFCE and HESA (including enquiries and responses provided)	While necessary for reference and future planning purposes (potentially end of current academic year + 6 years)	Reappraise for further retention or destruction	
1.5.2	Formal responses to surveys and consultations from government, parliamentary and statutory bodies, including GETFUND, GTEC etc.	Submission of response + 5 years	Reappraise for further retention or destruction	
1.5.3	Records of the University's formal participation in governmental, parliamentary or	Completion of inquiry + 10 years	Reappraise for further retention or destruction	

		public inquiries			

1.6 Higher Education Sector Relations					Governance Team
1.6.1	Records documenting the University's membership of Sector-wide bodies (e.g. Association of African Universities, VCG etc.)	Termination of membership + 2 year	Reappraise for further retention or destruction		
1.6.2	Working papers documenting the University's involvement with sector-wide bodies	End of current academic year + 5 years	Destroy		
1.6.2	Formal responses to surveys and consultations run by sector-wide bodies	While necessary for reference and future planning purposes (potentially submission of response + 6 years)	Destroy		
1.6.3	General communications with other HE and related institutions, professional associations and learned bodies	End of current academic year + 5 years	Destroy		

1.7 Fraud and Whistleblowing					Registrar's Office
1.7.1	Fraud and whistleblowing case files	Last action on case + 6 years	Reappraise for further retention accounting for statutory or investigatory requirements		

1.8 Public Records and Archives Administration Compliance					Registrar's Office
1.8.1	Records regarding the upkeep of the University's notifications under the data protection legislation	End of current academic year + 6 years	Destroy		
1.8.2	Privacy impact assessments / data protection impact assessments	Until superseded by new assessment + 3 years	Destroy		
1.8.3	Requests for personal information made under data protection legislation	Last action on request + 6 years	Reappraise for further retention or destruction, considering ongoing cases or litigation		
1.8.4	Records of data breaches and investigations, including liaison	Last action + 6 years	Destroy		

	with the Right to Information Commission's Office and Ministry of Communication			
1.8.5	Requests for information under the Right to Information Act, 2019 (Act 989), including information used to produce a response	Last action on request + 6 years	Destroy	
1.8.6	Records retention schedules (including both central and local schedules)	Until superseded by new documentation + 1year	Reappraise for further retention or destruction	
1.8.7	Records detailing the outcomes of archival appraisals	Completion of appraisal process +10 years	Destroy	
1.9 Copyright Law Compliance				Registrar's Office
1.9.1	Records regarding the upkeep of the University's copyright licenses	End of current academic year + 6 years	Destroy	
1.9.2	Records concerning applications to copy outside the standard terms of license	Period for which permission is granted + 6 years	Destroy	
1.9.3	Records of inspection by copyright holders	Inspection + 1 year	Destroy	
1.10 Risk Management				Governance Team
1.10.1	Strategic risk registers and assurance frameworks	Until superseded by updated register + 5 years	Destroy	
1.10.2	Working papers on the identification, assessment and management of risks to the University	Until risk no longer applicable + 3years	Destroy	
1.10.3	Disaster response and recovery plans (e.g. business continuity plans, major incident plans)	Until superseded by new plan + 5 years	Destroy	
1.11 Internal Audit				Governance Team
	Internal audit reports issued to the University, and records of actions taken to address issues raised	Completion of audit + 7 years (longer retention periods may be required depending on findings)	Reappraise for further retention or destruction	
1.12 Legal Documents and Services				Registrar's Office
1.12.1	Contracts, deeds and legal agreements under seal (including	End of contract +12 years	Destroy	

S/N	Record Description	Retention Period	Action at End of Retention Period	Record Owner
	supporting documentation and legal advice)			
1.12.2	Contracts and legal agreements under signature (including supporting documentation and legal advice)	End of contract + 6 years	Destroy	
1.12.3	Leases and lease agreements	Expiry of lease + 15 years	Destroy	
1.12.4	Claims by or against the University which do not proceed to litigation or are settled by agreement (including supporting legal advice)	Withdrawal or settlement of claim + 6 years	Destroy	
1.12.5	Litigation with third parties where legal precedents are set (including supporting legal advice)	Retained permanently	Retained under supervision of University Secretary's Office	
1.12.6	Litigation with third parties where legal precedents are not set (including supporting legal advice)	Settlement + 6 years	Destroy	
1.12.7	Records relating to Trusts	Until Trust woundup or subsumed	Reappraise for further retention or destruction	
1.12.8	General legal advice on matters of the University's status, governance, industrial relations and health and	Until superseded by new advice +12 years	Destroy	
1.12.9	General legal advice on other matters	Until superseded by new advice + 6 years	Destroy	

2. 0 Student Administration

S/N	Record Description	Retention Period	Action at End of Retention Period	Record Owner
2.1 Core Student Record				Academic Affairs Directorate – Records Unit
2.1.1	Core record of individual students, including: Basic personal details, programme and courses undertaken, including relevant dates of teaching and assessment	Core digital record (ERP/SIP) retained permanently. Core record retained permanently as paper or scan copy. (Records held locally	Core digital record (ERP/SIP) retained permanently. Core record retained permanently as	

	Information on academic progress and performance, including key assessment outcomes Any supplementary information required for professional accreditation Transcript	by faculties, schools or departments should be destroyed or amalgamated with central records following graduation or departure)	paper or scan on ERP/SIP
2.1.2	Associated information forming part of student record, including: Information gathered at application Information gathered at registration Summary information on academic appeals, complaints, discipline, fitness to study and academic misconduct Disability and similar support References from the University	Graduation or departure + 6 years (Records held locally by faculties, schools or departments should be destroyed or amalgamated with central records following graduation or departure)	Destroy (though longer retention periods may be necessary in some special cases)	
2.2 Student Recruitment and Admissions			Admissions Department/Recruitment Unit
2.2.1	Prospectuses/Application Documents	Single copy retained permanently	Send to University Archives	
2.2.2	Design, conduct and results of recruitment campaigns and events	While necessary for reference and future planning purposes (typically no longer than completion of campaign and event + 3 years)	Destroy	
2.2.3	Anonymised (impossible to link to the individual) records and summaries and analysis of enquiry, recruitment and admissions data	While necessary for reference and future planning purposes	Destroy	
2.2.4	Development of general admissions criteria	Retain permanently	Send to University Archives	
2.2.5	Enquiries from prospective students	Academic year received +2 years	Destroy	
2.2.6	Enquiries from current applicants and related correspondence	Academic year received +2 years (unless form part of core student record)	Destroy	
2.2.7	Individual student applications and all associated documents: unsuccessful applicants	Completion of admissions round + 2 years (though longer retention	Destroy	

		periods may be necessary for deferred or non-standard application)		
2.2.8	Complaints and appeals from unsuccessful applicants	Last action + 3 years	Destroy	
2.2.9	Individual student applications and associated documents: successful applicants	Graduation or departure + 6years	Destroy (though longer retention periods may be necessary in some special cases)	
2.3 Student Finance				Finance Directorate/Finance Office
2.3.1	Application and award of financial bursaries and scholarships, charges and fees, maintenance grant requests, allowances, non-payment of fees and similar matters.	Student graduation or departure + 6 years	Destroy	
2.4 Student Progress and Assessment				Academic Affairs Directorate/Academic Departments
2.4.1	Student attendance information	Student graduation or departure + 1 year	Destroy	
2.4.2	Examination and assessment guidelinesand handbooks (including examination rules and procedures)	Issue of new edition + 10 years. Documents relating to accredited courses may need to be kept permanently.	Reappraise for further retention or destruction	
2.4.3	Records concerning the appointment of individual external examiners (excluding formal HR records)	End of individual's appointment + 1 year	Destroy	
2.4.4	Summaries of mitigating evidenceand examination allowances relating to individual students	Graduation or departure + 6years	Destroy (though longer retention periods may be necessary in some special cases)	
2.4.5	Doctoral theses	One copy to be retained permanently	Send to Library	
2.4.6	Examination papers	Publication + 8 years	Reappraise for further retention or destruction	
2.4.7	Examination scripts and submitted	End of academic year + 5 years	Destroy	

	assessments (undergraduate and taught postgraduate students)	(though longer retention periods may be necessary if stipulated by an external accrediting body		
2.4.8	Dissertations and theses (undergraduate and taught postgraduate students)	Student graduation or departure + 4 years (though longer retention periods may be necessary if stipulated by an external accrediting body	Reappraise for further retention or destruction	
2.4.9	Examiners' comments and mark sheets	Student graduation or departure + 1 year	Destroy	
2.4.10	Examination Board and Panel agendas and minutes, External Examiners' reports and classes awarded	Creation + 8 years	Reappraise for further retention or destruction	
2.4.11	Congregation ceremony programmes	Retain permanently (See 1.2.1)	Send to University Archives	
2.4.12	Award verification requests	Provision of response + 2 year	Destroy	
2.5 Student Complaints, Appeals, Discipline and Misconduct				Academic Affairs Directorate
2.5.1	Evidence of mitigating circumstances and examination allowance	Completion of programme + 5 years	Destroy	
2.5.2	Individual student complaint files	Last action on complaint + 5 years	Destroy	
2.5.3	Individual student academic appeal files	Last action on appeal + 5 years	Destroy	
2.5.4	Individual student disciplinary files	Last action on disciplinary case +5 years	Destroy	
2.5.5	Individual student academic misconduct files	Last action on misconduct case +5 years	Destroy	
2.6 Fitness to Practice (FTP)				Academic Affairs Directorate
2.6.1	Concerns or cases investigated resulting in no further action	Student graduation or departure	Destroy	
2.6.2	Cases resulting in informal warning or action plan	Student graduation or departure + 6 years	Destroy	
2.6.3	Cases referred to FTP Committee resulting in formal written warning	Student graduation or departure + 12 years	Destroy	
2.6.4	Cases referred to FTP	Student graduation	Destroy	

S/N	Record Description	Retention Period	Action at End of	Record Owner
	Committee where FTP issues are proven, resulting in sanction (undertakings, suspension, expulsion)	or departure + 40 years		
2.7 Student Support				Student Affairs Office
2.7.1	General administration of financial aid, emergency or scholarships and bursaries (not at the level of individual students)	End of current academic year + 6 years	Destroy	
2.7.2	Formal Student Counselling, Student Wellbeing and Disability Services files relating to individual students	Student graduation or departure + 6 years	Destroy	
2.7.3	Medical certificates	Student graduation or departure + 6 years	Destroy	
2.7.4	Student Handbooks and comparable formal publications for students	Retain permanently	Send to University Archives	
2.7.5	Design, operation and anonymised results of University-wide student surveys	While necessary for reference and future planning purposes (potentially creation + 2 years)	Reappraise for further retention or destruction	
2.8	Relations with Student Representative Bodies, including Students' Union Bodies			Governance Team
2.8.1	Records of formal student representative committees and bodies, including those run by the Students' Union	End of an individual's tenure + 6 years (same as 1.3)	Destroy (same as 1.3)	
2.9 Prize Administration				Academic Registry
2.9.1	Confirmation of prizes awarded	Retain permanently	Send to University archives	
2.9.2	Administration of . prize	Academic year + 6 years	Destroy	
2.10 Honorary Degrees				Academic Registry
2.10.1	Honorary Degrees Committee records	Retain permanently	Send to University archives	

3.0 Teaching

S/N	Record Description	Retention Period	Action at End of	Record Owner

			Retention Period	
3.1 General University Teaching Quality and Standards				Academic Departments Registry/Academic Affairs Directorate/ Quality Assurance and Promotions Directorate (QAPD)
3.1.1	Records detailing the development of general University teaching policies and related quality assurance processes	Likely to be held as part of relevant committee papers. If not, superseded + 10 years.	**See 1.3 for committee papers.** Reappraise non-committee records for further retention or destruction.	QAPD
3.1.2	Formal internal reviews of general University teaching quality and standards - final reports and core working papers	Likely to be held as part of relevant committee papers.If not creation + 10 years.	See 1.3 for committee papers. Reappraise non-committee records for further retention or destruction.	QAPD
3.1.3	Formal external reviews (e.g. QAA) of general University teaching quality and standards - final reports, submission and supporting documentation	Retain permanently	Send to University Archives	Academic Department Registry/Academic Affairs Directorate
3.2 Taught Degree/Diploma Programme Development, Approval, Delivery and Review				Academic Department Registry
3.2.1	Core records detailing the development and approval of individual taught degree programmes (including course content, background statistical and benchmarking information, validation processes)	Held as part of relevant committee papers	See 1.3	Academic Department Registry
3.2.2	Formal reviews of individual taught degree programmes - final reports and core working papers	Held as part of relevant committee papers	See 1.3	Academic Department Registry/Academic Affairs Directorate
3.2.3	Anonymised summaries and analysis of student feedback on individual taught degree programmes	While necessary for reference andfuture planning purposes	Destroy	Academic Department Registry
3.2.4	Agreements with partner and validated institutions (including Memoranda of Understanding)	Termination of agreement + 6years	Reappraise for further retention or destruction	Academic Affairs Directorate – Affiliations

	3.3 Taught Degree/Diploma Course Accreditation			Academic Department Registry/QAPD
3.3.1	Records detailing the approval and accreditation of taught degree/diploma courses from professional, statutory, regulatory and other formal bodies	End of course + 10 years.	Reappraise for further retention or destruction	
	3.4 Taught Course Development, Approval, Delivery and Review			Academic Department Registry
3.4.1	Core records detailing the development and approval of individual courses within taught degree/diploma programme	Held as part of the relevant committee papers	Destroy (same as 1.3)	
3.4.2	Course Handbooks and reading lists produced for a cohort of students	Completion of course by relevant cohort of students + 1 year (longer retention periods may be needed due to external accreditation or other quality assurance needs, and a sample may be kept for historical interest and future reference)	Destroy	
3.4.3	Teaching and learning materials produced during the life of a taught course for a cohort of students (e.g. handouts and	Retention periods will vary due to nature and medium of materials and on-going pedagogic value	Destroy	
3.4.4	Formal reviews of individual taught courses - final reports and core workingpapers	Held as part of relevant committee papers	See 1.3	
3.4.5	Anonymised summaries and analyses of student feedback on individual taught courses	While necessary for reference and future planning purposes (potentially end of current academic year + 6 years)	Destroy	

4.0 Research

S/N	Record Description	Retention Period	Action at End of Retention Period	Record Owner
4.1 Research Quality, Standards and Governance				ORSI
4.1.1	Records detailing the development of general University research policies and related quality assurance processes	Likely to be held as part of relevant committee papers. If not, superseded + 10 years.	See 1.3 for committee papers. Reappraise non- committee records for further retention or destruction.	Faculty Research Committees have operational responsibility for records they hold
4.1.2	Formal internal reviews of general University research quality and standards - final reports and core working papers	Likely to be held as part of relevant committee papers. If not creation + 10 years.	See 1.3 for committee papers. Reappraise non-committee records for further retention or destruction.	Faculty Research Committees have operational responsibility for records they hold
4.1.3	Formal external reviews (e.g. REF) of general University research quality and standards - final reports and core working papers	Retained permanently	Send to University Archives	
4.1.4	Formal external reviews (e.g. REF) of general University research quality and standards – internal documents for preparation and submission	Some may be suitable for permanent retention, others completion of process + 10 years	Send to University archives or reappraise for further retention or destruction	
4.1.5	Records relating to a project's research governance and ethics (both internally generated and externally funded activities)	Completion of research activity + 6 years (longer if specified by legislation or an agreement or contract governing the research)	Destroy	
4.1.6	Research Governance-related information for conduct investigations	Closure of case or end of investigation + 7 years	Destroy	
4.2 Research Ethics				ORSI
4.2.1	Research ethics committee minutes, agendas, membership and associated documents	See 1.3 Some may be suitable for permanent retention; if not, end of academic year + 6 years	Send to University archive if suitable for permanent retention. If not, destroy.	
4.2.2	Successful applications to research ethics committees	End of research activity + 6 years (longer if specified by legislation or an agreement or contract governing the research)	Destroy	

4.2.3	Unsuccessful applications to research ethics committees	End of academic year + 2 years	Destroy	
4.3 Research Project Development and Management				ORSI
4.3.1	Communications with research funders which lead to research projects	End of research activity + 6 years (though longer retention periods may be required by research funder, in which case research funder retention period should be followed)	Destroy	
4.3.2	Communications with research funders which do not lead to research projects	Last action on proposed project +2 year	Destroy	
4.3.3	Records detailing the formation and management of partnerships and other collaborations to undertake research	Life of partnership or collaboration + 6 years (though longer retention periods may be necessary due to specific contractual requirements)	Destroy	
4.3.4	Laboratory trials contracts	Completion of research activity + 6 years (longer if specified by legislation or an agreement or contract governing the research)	Reappraise for further retention or destruction	
4.3.5	Research project design and preparatory papers (generally held by Principal Investigator) where the project is pursued	Completion of project + 6 years	Destroy	
4.3.6	Research project design and preparatory papers (generally held by the Principal Investigator) where the project is not pursued	Last action on proposed project + 2 year	Destroy	
4.3.7	Research data and working papers produced through the life of the project	Retention periods will vary according to specific contractual requirements and the nature and sensitivity of the research. As a general guide, completion of project + 10 years, but permanent	Actions will vary according to specific contractual requirements and the nature and sensitivity of the research. Permanent retention may be permissible.	Relevant Faculty or School have operational responsibility

		retention may be required.		
4.3.8	Papers (generally held by the Principal Investigator) detailing the overall management of research projects	Completion of project + 6 years (though longer retention periods may be necessary due to specific contractual requirements)	Destroy	Relevant Faculty or School have operational responsibility
4.3.9	Final reports produced by the Principal Investigator on externally funded research projects	Potentially retained permanently, but may depend on content	Send to University archives or reappraise for further retention	Relevant Faculty or School have operational responsibility
4.3.10	Final research outputs (formal publications etc.)	One copy retained permanently on publication	Send to the University's Institutional Repository (if suitable for open access)	
4.3.11	Records relating to the termination of licenses, agreements, contracts or partnerships	Creation + 6 years	Destroy	
4.4 Research Exploitation and Enterprise				ORSI
4.4.1	Records concerning unsuccessful attempts to commercially exploit the University's intellectual property	Last action + 3 years	Destroy	
4.4.2	Records documenting the negotiation, transfer and sale of intellectual property rights to third parties	Completion of transfer + 6 years (though longer retention periods may be necessary due to specific contractual requirements)	Destroy	
4.4.3	Patent application and renewals	Life of patent + 30 years	Destroy	
4.4.4	Case files on patent infringements	Last action on case + 6 years	Destroy	
4.4.5	Registered trademark or design certificates	Retain permanently	Send to University Archive	
4.4.6	Records concerning consultancy tenders and proposals (including any resulting contract and project management records)	Termination of consultancy arrangement + 6 years	Destroy	
4.4.7	Records concerning the formation and disposal of spin-	See 5.11	See 5.11	

	out companies			

5.0 Finance

S/N	Record Description	Retention Period	Action at End of Retention Period	Record Owner
5.1 General Finance				Finance Directorate/Finance Offices
5.1.1	Annual Financial Statements - final copy	Single copy retained permanently. See 1.2	Send to University Archive. See 1.2	
5.1.2	Annual Financial Statements - preparatory documents	End of current financial year + 6years	Destroy	
5.1.3	Financial forecasts	Financial year created + 6 years	Destroy	
5.1.4	Financial Regulations	Retain permanently	Send to University Archive	
5.1.5	Financial audits and actions taken to address issues raised	Completion of audit + 10 years (longer retentionperiods may be necessary depending on findings)	Reappraise for further retention or destruction	
5.2 University Accounting				Finance Directorate/Finance Offices
5.2.1	Purchase orders, purchase invoices,sales invoices, credit card records,retail sales transactions and other transaction records	End of current financial year + 6 years (longer retention periods may be necessarydue to the specific contractual requirements of a research project funder)	Destroy	
5.2.2	Expenses payments (to employees and third parties)	End of current financial year + 6 years (longer retention periods may be necessary due to the specific contractual requirements of a research project funder)	Destroy/Appraise for further retention	
5.2.3	Petty cash handling	End of current financial year + 6 years	Destroy	
5.2.4	Student accounts and tuition fee records (for scholarships	Student graduation or departure + 6 years	Destroy	

	andbursaries, see 2.3)			
5.3 Internal Accounting and Budget Management				Finance Directorate/Finance Offices
5.3.1	Preparation and monitoring of annual operating budgets	While necessary for reference and future planning purposes	Destroy	
5.3.2	Analyses of internal resource deployment	While necessary for reference and future planning purposes	Destroy	
5.3.2	Expenses on food/water during meetings/examinations	End of current financial year + 6 years	Destroy	
5.4 Funding Administration				Finance Directorate/Finance Offices
5.4.1	Administration of annual funding allocations from GETFUND and other funding bodies	End of current financial year + 10 years	Destroy	
5.4.2	Administration of research grants fromFunding Councils or other funders	End of grant + 6 years (longer retention periodsmay be necessary due to the specific contractual requirements of research project funder)	Destroy	
5.4.3	Records of transactions with substantial donors to the University (as defined relevant sections of Income Tax Act, 2015(Act 896)/Income Tax Amendment (No. 2), Act 2018 (Act 979)	End of current financial year + 6 years	Destroy	
5.5 Tax				Finance Directorate/Finance Offices
5.5.1	Preparation and filing of annual tax returns (incl. VAT)	End of current tax years + 6 years	Destroy	
5.5.2	VAT accounting	End of current tax years + 6 years	Destroy	
5.6	**Cash, Investment and Asset Management**			Finance Directorate/Finance Offices
5.6.1	Opening and closing of bank accounts	Closure of account + 6 years	Destroy	
5.6.2	Standing order and direct debit instructions	End of instruction + 6 years	Destroy	

5.6.3	Bank statements and associated documentation	End of current financial year + 6 years	Destroy	
5.6.4	Overall management of investment portfolio	Disinvestment + 6 years	Destroy	
5.6.5	Purchase and sale of investments	Date of transaction + 6 years	Destroy	
5.6.6	Valuations of capital assets	Until superseded by new valuation + 6 years	Destroy	
5.6.7	Authorisations to dispose of capital assets	Disposal + 6 years	Destroy	
5.7 Payroll and Allowances				Finance Directorate/Finance Offices
5.7.1	Calculation of payroll and payments to employees	Current tax year + 6 years	Destroy	
5.7.2	Non-statutory deductions from payroll and salaries	Current tax year + 6 years	Destroy	
5.7.3	Allowances due academic and administrative staff – Invigilation, Extra loads, Marking Allowance	Current tax year + 6 years	Destroy	
5.7.4	Overtime/Call-in allowances	Current tax year + 6 years	Destroy	
5.8 Pension and Benefits				
5.8.1	Employer and employee contributions to relevant pensions schemes	End of employment + 75 years. Also See 6.7	Destroy	
5.9 Insurance				
5.9.1	Employers' Liability Insurance Certificates	Retained permanently	Held by the University Secretary's Office	
5.9.2	All other insurance certificates	Expiry of certificate + 40 years	Destroy	
5.9.3	Records documenting the arrangement and renewal of insurance policies	Expiry of policy + 6 years	Reappraise for further retention	
5.9.4	Claims, and outcomes of claims, against insurance policies	Settlement or withdrawal of claim + 6 years	Reappraise for further retention or destruction	
5.10 Procurement and Vehicle Fueling Expenses				Finance Directorate/Finance Offices
5.10.1	Internal authorisation for procurement	End of current financial year + 3 year (longer retention periods may be necessary due to the	Destroy	

		specific contractual requirements of a research project funder		
5.10.2	Supplier evaluation criteria	Until superseded by new criteria + 5 years	Destroy	
5.10.3	Invitations to suppliers to apply for approval	Completion of approval process +1 year (longer retention periods may be necessary due to the specific contractual requirements of a research project funder	Destroy	
5.10.4	Evaluations of supplier applications - approved	End of approval period	Destroy	
5.10.5	Evaluations of supplier applications: rejected suppliers	Rejection + 1 year	Destroy	
5.10.6	Tender evaluation criteria	End of resulting contract + 6 years	Destroy	
5.10.7	Invitations to tender	End of resulting contract + 6 years	Destroy	
5.10.8	Evaluations of tender applications - approved	End of resulting contract + 6 years	Destroy	
5.10.9	Evaluations of tender applications - rejected tenders	Rejection + 1 year	Destroy	
5.10.10	Supply contracts (and ensuing variations)	End of contract + 6 years	Destroy	
5.10.11	Contract award notices	End of contract + 6 years	Destroy	
5.10.12	Registers of contracts	Until superseded + 1 year	Destroy	
5.10.13	Supplier performance monitoring	End of contract + 6 years	Destroy	
5.10.14	Receipts and documentation related to fueling, maintenance expenses, and repairs	5 years after the end of the fiscal year.	Destroy	

6. 0 Human Resources

S/N	Record Description	Retention Period	Action at End of Retention Period	Record Owner
6.1 Core Staff Record (Relating to individual members of staff)				HROD
6.1.1	Core record of individual members of staff, including: i. Basic personal details ii. Job description iii. Subsequent successful applications for other posts within the University (for unsuccessful applications, see 6.4.8) iv. Pre-employment health declaration	Core digital record retained permanently	Core digital record retained permanently	
6.1.2	Associated information forming part of staff record, including: i. Initial application for employment ii. Supporting documentation and related correspondence related to initial application (e.g. references, statutory checks, work permits) iii. Emergency contacts iv. Contract(s) of employment and records of changes to terms and conditions	End of employment + 6 years (Records held locally by faculties, schools and departments should be Amalgamated with central records at end of employment)	Destroy (though longer retention periods may be necessary in some special cases)	
6.1.3	Emeritus staff records (relevant records not falling within 6.1.1)	Death of staff member + 6 years	Reappraise for further retention or destruction	
6.2 Personnel Matters (Relating to individual members of staff. For Occupational Health, See 6.3)				HROD
6.2.1	HR policy and strategy documents	See 1.4	See 1.4	
6.2.2	Records of induction programmes attended	Completion of programme + 5	Destroy	

6.2.3	Records of training and development programmes attended	Completion of programme + 5	Destroy	
6.2.4	Records of training and development programmes attended where these are a statutory or regulatory requirement	Expiry of relevant certification + 6 years	Destroy	
6.2.5	Annual staff review and development process (including identification of training, development and welfare needs) and records of subsequent actions	End of employment + 3 years	Destroy	
6.2.6	Promotions (including senior academic roles), re-grading confirmation and justifications, increments, supporting documentation	End of employment + 6 years	Destroy	
6.2.7	Performance, disciplinary, grievance and capability proceedings (including correspondence outlining concerns, action taken, outcomes of both informal and formal reviews, appeals)	End of employment + 6 years	Destroy	
6.2.8	Tribunal case files	Retain permanently	Permanent preservation in suitable location	
6.2.9	Grievances raised by an employee and outcomes	End of employment + 6	Destroy	
6.2.10	Remuneration and reward of an individual employee (including records of special rewards and employee authorisations for non-standard deductions from salary)	End of current tax year + 6 years	Destroy	
6.2.11	Administration of an employee's contractual annual leave entitlement	End of current calendar year + 1 year	Destroy	
6.2.12	Administration of an employee's special leave (i.e. compassionate, study, research)	End of employment + 1 year	Destroy	

6.2.13	Administration of an employee's statutory leave (e.g. parental, dependents)	Completion of entitlement + 6 years	Destroy	
6.2.14	Statutory maternity pay calculations, certificates and medical evidence	End of employment + 6 years	Destroy	
6.2.15	Records concerning termination of employment/redundancy	End of employment + 6 years	Destroy	
6.2.16	Retirement records	End of employment + 6 years	Destroy	
6.2.17	References provided by the University to third parties about an employee	End of employment + 3 years	Destroy	
6.2.18	Records relating to an individual staff member's visa status	Duration of employment	Destroy	
6.3 Staff Health				HROD
6.3.1	Pre-employment health declaration	Included in Core Staff Record	See 6.1.1	
6.3.2	Pre-employment health checks – staff exposed to hazardous substances	See 15.3.3	See 15.3.3	
6.3.3	Major injuries from workplace accidents	See 15.2.	See 15.2	
6.3.4	Administration of an employee's sickness absence and medical bills pay	End of employment + 6 years	Destroy	
6.3.5	Staff welfare records about individual members of staff	End of current academic year + 5 years (longer retention periods may be necessary if individual cases are on-going)	Destroy	
6.3.6	Medical records and details of assessments	End of employment + 6 years	Destroy	
6.3.7	Occupational health records	End of employment + 6 years	Destroy	
6.3.8	Occupational health records for employees exposed to hazardous substances	End of employment + 40 years	Destroy	
6.3.9	Workforce Planning and Recruitment (Generic information, i.e. not relating to individual members of staff)			
6.3.10	Assessments of workforce requirements	Until superseded by new assessment + 3 years	Destroy	

6.3.11	Major restructuring – plans, consultation documents, meeting records	Retained permanently	Send to University Archive	
6.3.12	Job evaluation criteria, including grading schemes	Until superseded + 7 years	Destroy	
6.3.13	Design, operation and anonymised results of staff surveys conducted by the University	While necessary for reference and future planning purposes (potentially until superseded + 5 years)	Destroy	
6.3.14	Management succession plans	Until superseded + 5 years	Destroy	
6.3.15	Vacancy advertisements and job descriptions	Held as part of successful applicant's Core Staff Record	See 6.1.1	
6.3.16	Job applications - successful applications	Held within Core Staff Record	See 6.1.1	
6.3.17	Job applications - unsuccessful applications	Closing date for vacancy + 1 year	Destroy	
6.3.18	Short-listing notes, interview notes and test results	Vacancy filled + 6 months	Destroy	
6.3.19	Management analyses of recruitment effectiveness	While necessary for reference and future planning purposes	Destroy	
6.5 Staff Induction, Training and Development (Generic information; i.e. not relating to individual members of staff)				HROD
6.5.1	Content of induction, training and development programmes	Until superseded + 5 years	Destroy	
6.5.2	Anonymised summaries and analyses of feedback on induction, training and development	End of current academic year +1 year	Destroy	
6.5.3	Management analyses of induction, training and development effectiveness	While necessary for reference and future planning	Destroy	HROD
6.6 Remuneration (Generic; i.e. not relating to individual members of staff)				
6.6.1	Remuneration structures	Until superseded + 10 years	Reappraise for further retention or destruction	

6.6.2	General administration of pay reviews	End of current academic year + 6 years	Destroy	
6.6.3	General administration of special reward schemes (e.g. discretionarypay, merit awards)	End of current academic year + 6 years	Destroy	
6.7 Payroll and Pensions				HROD
6.7.1	Records documenting the calculation and payment of employees' salaries and other payments (for records relating to individual employees, See 6.2.10)	End of current tax year + 6 years	Destroy	
6.7.2	Employer's Pay as You Earn (PAYE) records not sent to GRA	End of employment + 6years	Destroy	
6.7.3	Records formally documenting the University's involvement in staff pensionschemes	End of involvement + 5 years	Destroy	
6.7.4	Communications between the University and pension scheme management	End of current financial year + 6 years	Destroy	
6.7.5	Employer and employee contributions to the pension schemes	End of employment + 75 years	Destroy	
6.8	Workforce and Industrial Relations			
6.8.1	The University's recognition and de-recognition of trade unions	Date of recognition + 6 years	Destroy	
6.8.2	Agreements with trade unions	End of agreement + 10 years	Destroy	
6.8.3	Consultations and negotiations with trade unions on specific issues	Last action on negotiation + 20 years	Destroy	
6.8.4	Records of regular liaison meetings and communications with trade unions representatives	See 1.3. Non-committee records retain for 5 years	See 1.3. Non-committee records destroy.	
6.9 Equality and Diversity				HROD
6.9.1	Statistical information resulting from equality monitoring	While necessary for reference andfuture planning purposes, no longer than 10 years	Destroy	

S/N	Record Description	Retention Period	Action at End of Retention Period	Record Owner
6.9.2	Handling of formal complaints about discrimination	Last action on complaint + 6 years	Destroy	
6.9.3	Formal equality schemes and action plans	Until superseded by new scheme + 5 years	Destroy	
6.9.4	Annual reports on formal equalityschemes and action plans	End of current academic year + 5 years	Destroy	
6.9.5	Formal equality impact assessments	Until supersededby new assessment + 5 years	Destroy	
6.9.6	Formal monitoring of equalities aspects of student admission andprogress	End of current academic year +5 years	Destroy	
6.9.7	Formal monitoring of equalitiesaspects of staff recruitment andprogression	End of current academic year +5 years	Destroy	

7.0 Estates - Works and Physical Development

S/N	Record Description	Retention Period	Action at End of Retention Period	Record Owner
7.1 Property Acquisition, Development and Disposal				**Works & Physical Development Directorate (WPDD)**
7.1.1	Records detailing the acquisition of a property	Disposal of property + 12 years	Reappraise for further retentionor destruction	
7.1.2	Title deeds for properties owned by the University	Retain permanently	Transfer to new owner with property if required and send copy to University archives	
7.1.3	Negotiation records where a property was not acquired	Conclusion of negotiations + 6 years	Destroy	
7.1.4	Lease agreements	Expiry of lease + 15 years	Reappraise for further retention or destruction	
7.1.5	Negotiation of leases	Expiry of lease + 5 years	Destroy	
7.1.6	BOT Agreements	Permanent. Till BOT contract expiry /Reappraise	Send to University Archive	
7.1.7	Property development records (including plans, drawings and architectural	Ownership of property	Transfer to new owner with property and appraise for	

	documents and media)		further retention	
7.1.8	Planning applications and supporting documents	Ownership of property	Transfer to new owner with property and appraise for further retention of copy	
7.1.9	Records detailing the disposal of a property by sale, transfer or donation	Disposal of property + 12 years	Reappraise for further retention or destruction	
7.2 Property Maintenance and Facilities Management				Works & Physical Development Directorate (WPDD)
7.2.1	Routine inspections of properties	Date of inspection + 5 years	Destroy	
7.2.2	Routine inspection of facilities	Until superseded by two subsequent inspections	Destroy	
7.2.3	Project contracts	See 1.12	See 1.12	
7.2.4	Major maintenance works or properties	Ownership of property	Transfer to new owner with property if relevant and appraise for further retention of copy	
7.2.5	Major maintenance works to facilities	Completion of works + 15 years	Destroy	
7.2.6	Minor maintenance works to properties	Completion of works + 15 years	Destroy	
7.2.7	Minor maintenance works to facilities	Completion of works + 5 years	Destroy	
7.2.8	Space management records and audits	Creation + 10 years	Destroy	
7.2.9	Relocation of facilities	Completion + 10 years	Destroy	
7.2.10	Inspection of properties or facilities by external authorities	Until superseded by subsequent inspection (longer retention periods may be necessary depending on findings)	Destroy	
7.2.11	Licenses and certificates issued by external authorities	Until superseded by new license (longer retention periods may be necessary depending on external authority requirements)	Destroy	
7.2.12	Permits to work or enter	Expiry of permit +2 years	Destroy	
7.2.13	Method statements	Date of statement + 2	Destroy	
7.3.1	Specification, selection and	Life of the item +	Destroy	

		40 years		
7.3.2	Specification, selection and installation of major items	Life of the item + 6 Years	Destroy	
7.3.3	Specification, selection and installation of minor items	Life of the item + 1 year	Destroy	
7.3.4	Maintenance, testing and inspection logs of safety-critical or hazardous items	Life of the item +10 years	Destroy	
7.3.5	Maintenance, testing and inspection logs of major items	Life of the item +6 years	Destroy	
7.3.6	Maintenance, testing and inspection logs of minor items	Life of the item +1 year	Destroy	
7.3.7	Disposal of items and transfers of ownership – safety-critical or hazardous items	Disposal of item + 6 years	Destroy	
7.3.8	Disposal of items and transfers of ownership – major items	Disposal of items + 1 year	Destroy	
7.3.9	Disposal of items and transfers of ownership – minor items	Disposal of items + 1 year	Destroy	
7.3.10	Stock inventories	Until superseded by new inventory	Destroy	
7.3.11	Routine stock taking and records of stock movements	End of current academic year + 2 years	Destroy	

8. 0 Security and Transport

S/N	Record Description	Retention Period	Action at End of Retention Period	Record Owner
8.1	**Security**			General Administration & Operations Directorate (GAOD)
8.1.2	Security inspections of properties or facilities	Until superseded by two subsequent inspections	Destroy	
8.1.3	Security pass and key issue logs	Created + 2 years	Destroy	
8.1.4	Access logs to secure areas	Date of log + 1 year	Destroy	
8.1.5	Routine security surveillance of properties and facilities	Date of surveillance +2 months	Destroy	

8.1.6	Security incident reports and logs	Last action + 3 years	Destroy	
8.1.7	CCTV footage	Creation + 30 days	Destroy	
8.1.8	CCTV footage retained for investigatory purposes	Creation + 1 year (longer retention periods may be required depending on the nature and outcome of the investigation)	Destroy	
8.1.9	Lost property log	Created + 1 year	Destroy	
8.2 University Vehicle Usage and Transport				General Administration & Operations Directorate (GAOD)
8.2.1	Logs detailing of university vehicles, including dates, times, destinations, purposes, and drivers.	2 years after the end of the fiscal or academic year.	Destroy	
8.2.2	Documentation of drivers, including certifications, licenses, training records, and authorizations	Duration of employment plus 2 years after termination	Destroy records of former employees.	
8.2.3	Documentation of maintenance activities, repairs, inspections, and service history for each university vehicle.	3 years after the vehicle is decommissioned or sold	Destroy	
8.2.4	Reports and documentation related to regular vehicle inspections.	2 years after the completion of the last entry	Destroy	
8.2.5	Documentation of accidents, incidents, and related investigations involving university vehicles	7 years after the resolution of the incident.	Appraise and Destroy(if required)	
8.2.6	Documentation related to the decommissioning, sale, or disposal of university vehicles	5 years after the disposal date.	Destroy	
8.2.7	Insurance policies, liability waivers, and related documentation for university vehicles	Duration of coverage plus 5 years	Destroy	
8.2.8	Vehicle Acquisition and Retirement Documents	5 years after the disposal or retirement of the vehicle.	Destroy	
8.2.9	Transportation Requests and Scheduling	2 years after the completion of the last entry.	Destroy	

9. 0 Environmental, Energy and Waste Management

S/N	Record Description	Retention Period	Action at end of retention period	Record Owner
9.1 Environmental, Energy and Waste Management				General Administration & Operations Directorate (GAOD)
9.1.2	Environmental audits, including conduct, results and actions	Completion of audit + 5 years (longer retention periods may be necessary depending on findings)	Destroy	
9.1.3	Identified environmental hazards and risk assessments	Elimination of risk +5 years or until superseded by updated risk assessment + 5 years	Destroy	
9.1.4	Accreditation under environmental management scheme	Until superseded by new accreditation +3 years	Destroy	
9.1.5	Records detailing environmental awareness activities and promotion of best practice	End of current academic year + 5 years	Destroy	
9.1.6	Major environmental incident investigation	See 15.2	See 15.2	
9.1.7	Routine monitoring and formal reviews of energy use	End of current academic year + 5 years	Destroy	
9.1.8	Utility meter readings (ECG)	Date of reading + 10 years	Destroy	
9.1.9	Utility meter readings (Water)	Date of reading + 10 years	Destroy	
9.1.10	Waste disposal/transfer records contract records (eg. Zoom Lion)	8 years	Destroy	
9.2.8	Fire Prevention Records - Documentation related to fire prevention measures, including fire risk assessments, inspections, and preventive maintenance	5 years after the completion of the last entry or assessment.	Securely dispose of records	
9.2.9	Fire Detection and Warning Systems Records: Documentation	5 years after the system is decommissioned or replaced	Securely dispose of records	

S/N	Record Description	Retention Period	Action at End of Retention Period	Record Owner
	related to the installation, testing, and maintenance of fire detection and warning systems.			
9.2.10	Fire Incident Reports: Documentation of actual fire incidents, investigations, and reports	7 years after the resolution of the incident.	Securely dispose of records	
9.2.11	Fire Safety Training and Drills: Training materials, attendance records, and evaluations for fire safety training sessions and drills	3 years after the end of the training or drill.	Securely dispose of records.	
9.2.12	Fire Safety Inspections: Records of regular fire safety inspections, findings, and corrective actions	5 years after the completion of the last entry.	Securely dispose of records.	

10.0 Student and Staff Services

Examples of services included in the section are the Students' Health Service, Student and Staff Counselling Services, Disability Services, Careers Service, the Sports, Exercise and some parts of Residential and Infirmary/Clinical Services.

S/N	Record Description	Retention Period	Action at End of Retention Period	Record Owner
10.1 Student and Staff Services: Standards and Delivery (Depending on the nature of the service, some of these records may be held as part of Committee Papers and Minutes - see 1.3)				Student Affairs for student-related services, HR for staff-related services
10.1.1	Formal agreements on service standards	Until superseded by new agreement + 3 years	Destroy	
10.1.2	Reports on service delivery, including annual reports	Issue of report + 5 years	Reappraise for further retention or destruction	
10.1.3	Development and management of promotional campaigns	Until superseded by new campaign + 1 year	Destroy	
10.1.4	Promotional materials	Until superseded by new materials + 3 years (longer retention periods may be necessary for reference and future planning purposes)	Destroy	
10.1.5	Formal publications produced by the service	Publication + 6 years	Reappraise for further retention or destruction	

10.1.6	Retail sales transactions	End of current academic years + 6 years	Destroy	
10.1.7	Formal counselling and disability services files relating to individual users (staff or students)	Graduation or departure + 6 years	Destroy	
10.1.8	Membership records for Sports, Exercise and Health Service	End of academic year + 2 years	Destroy	
10.1.9	Accommodation Office records relating to individual students	End of academic year + 3 years	Destroy	
10.1.10	Accommodation Office incident reports	End of academic year + 3 years	Destroy	
10.2 Student and Staff Services: Feedback and Complaints				Student Services for student-related services, HR for staff-related services
10.2.1	Design, operation and anonymised results of surveys conducted by services	While necessary for reference and future planning purposes (potentially until superseded by new survey + 3 years)	Reappraise for further retention or destruction	
10.2.2	Handling of formal complaints against the service	Last action on complaint + 6 years	Destroy	

11.0 Communications

S/N	Record Description	Retention Period	Action at End of Retention Period	Record Owner
11.1 Media Relations				University Relations Directorate
11.1.1	Press releases, press cuttings, media briefings and interviews	Date of issue + 10 years (longer retention periods may be necessary depending on the nature and sensitivity of the content)	Reappraise for further retention or destruction	
11.1.2	Media Contact Lists	Until superseded by new or updated list	Destroy	
11.1.3	Media enquiries and responses (excluding those made under the Right to Information Act, 2019 (Act 989) – See 1.8.6)	Last action on the enquiry + 5 years	Destroy	

11.1.4	Monitoring of media coverage	End of current academic year + 10 years	Destroy	
11.2 Public Relations				University Relations Directorate
11.2.1	Enquiries from members of the general public and responses provided (including those made by local, regional or business communities, but excluding those made under the Right to Information Act, 2019 (Act 989), for which see 1.8.6)	Last action on enquiry + 3 years	Destroy	
11.2.2	Design, operation and anonymised results of surveys conducted by the University	While necessary for reference and future planning purposes (potentially until superseded by new survey + 3 years)	Destroy	
11.2.3	Complaints received and outcomes (excluding those from students or staff)	Last action on the enquiry + 6 years	Destroy	
11.3 Branding and Market Research				University Relations Directorate
11.3.1	Records detailing the design of corporate identity branding (logos, branding materials etc.)	Retained permanently	Send to University Archives	
11.3.2	Anonymised market research data	While necessary for reference and future planning purposes (potentially completion of market research + 5 years)	Destroy	
11.3.3	Records detailing the design and conduct of marketing and advertising campaigns (excluding student recruitment activities – See 2.2.2)	Completion of campaign + 6 years	Destroy	
11.3.4	Official University publications	See 1.2	See 1.2	

12. 0 Libraries

S/N	Record Description	Retention Period	Action at End of Retention	Record Owner

			Period	
12.1 Collections Management: General Collections				Library
12.1.1	Records detailing the selection of publications and other materials for purchase	Completion of purchase + 1 year	Destroy	
12.1.2	Schemes for classifying and cataloguing library collections	Life of collection	Retain in Library	
12.1.3	Catalogues and indexes of collections	Until superseded +10 years	Reappraise for further retention	
12.1.4	Records authorising the withdrawal and sale of items in the collections	Withdrawal or sale + 2 years	Destroy	
12.1.5	Records of inter-library loans, including copyright	Date of request +1 year	Destroy	
12.1.6	User records	Expiry of user status + 1 year (longer if outstanding debts)	Destroy	
12.1.2	Schemes for classifying and cataloguing library collections	Life of collection	Retain in Library	
12.1.3	Catalogues and indexes of collections	Until superseded +10 years	Reappraise for further retention	
12.2 Collections Management: Special Collections				Library
12.2.1	Records detailing the acquisition of items in the collection, including depositor and donor agreements	Life of collection +1 year	Reappraise for further retention	
12.2.2	Catalogues and indexes of collections	Retained permanently	Retain in Library	
12.2.3	Records detailing conservation work on items in the collection	Life of collection	Destroy	
12.2.4	Requests for access and records of visits	Last action + 1 year	Destroy	
12.2.5	Loan of items to third parties	Return of item + 7 years	Destroy	
12.2.6	Promotional materials relating to the collection	Until superseded by new materials	Reappraise for further retention	
12.2.7	Records authorising the withdrawal and sale of items in the collections	Life of the collection + 1 year	Destroy	
12.2.8	Copyright declaration forms for the use of materials accessed in the Special	Date of access + 7 years	Destroy	

13.0 IT Services

S/N	Record Description	Retention Period	Action at End of Retention Period	Record Owner
13.1 Development of IT Systems				ICT Directorate
13.1.1	Development, modification and maintenance of core IT systems	Decommissioning of system + 5 years	Destroy	
13.1.2	Initial development of core IT systems that are not implemented	Last action towards development + 3 years	Destroy	
13.1.1	Development, modification and maintenance of core IT systems	Decommissioning of system + 5 years	Destroy	
13.1.2	Initial development of core IT systems that are not implemented	Last action towards development + 3 years	Destroy	
13.1.3	Development of new, non-core IT systems (usually held as project management records)	Termination of project + 5 years	Destroy	
13.1.4	Supply contracts, and ensuing variations (see 5.10 for further details relating to procurement)	End of contract + 6 years	Destroy	
13.1.5	Supplier performance monitoring	End of contract + 6 years	Destroy	
13.2 Operation of IT Systems				ICT Directorate
13.2.1	Routine monitoring of IT systems and actions taken to rectify problems	End of current academic year + 1 year	Destroy	
13.2.2	Software licenses	Until superseded by new licenses + 1 year	Destroy	
13.2.3	Email and connection log data	Date of log + 6 months	Destroy	
13.2.4	Web usage log data	Date of log + 3 months	Destroy	
13.2.5	Anonymised summaries of log data	While necessary for reference and future planning purposes	Destroy	
13.3 On-premises Systems, Microsoft Office 365 and Zoom Accounts				ICT Directorate
13.3.1	General backups for on-premises servers and systems (including all central systems not excluded from backups, departmental filestores, MyFiles	File deletion + 3 months (accessible for user restoration for at least 2 weeks).	Destroy (unless specific authorised reason to retain)	

	content)		
13.3.2	E-mail (Microsoft Exchange) in user inbox	Email deletion + 30 days for individual emails that enter the deleted items folder	Destroy (unless specific authorised reason to retain)
13.3.3	Email (Microsoft Exchange) when a user leaves the University	Account deactivation + 30 days	Retrieve important files for cloud-saving, if office holder and Destroy (unless specific authorised reason to retain for the sake of the files)
13.3.4	OneDrive files	Deletion + 30 days	Destroy (unless specific authorised reason to retain)
13.3.5	OneDrive sites and files when a user leaves the University	User departure + 30 days (can be extended to 3 months)	Destroy (unless specific authorised reason to retain)
13.3.6	SharePoint Faculty or Divisional site files	Deletion + 30 days	Destroy (unless specific authorised reason to retain)
13.3.7	SharePoint Faculty or Divisional site files when a user leaves the University	No information is deleted	Retain in SharePoint
13.3.8	Microsoft Office 365 Groups when a user leaves the University	No information is deleted	Retain in Groups
13.3.9	Microsoft Office 365 Groups when a group owner leaves or the group is inactive	All groups are assessed annually, deactivated after 30 days warning	Deactivation + 12 months
13.3.10	Active Directory account user identity (limited to account name, not content)	Retained permanently	Held by ICT Directorate in suspended state
13.3.4	OneDrive files	Deletion + 30 days	Destroy (unless specific authorised reason to retain)
13.3.5	OneDrive sites and files when a user leaves the University	User departure + 30 days (can be extended to 3 months)	Destroy (unless specific authorised reason to retain)

13.3.6	SharePoint Faculty or Divisional site files	Deletion + 30 days	Destroy (unless specific authorised reason to retain)	
13.3.7	SharePoint Faculty or Divisional site files when a user leaves the University	No information is deleted	Retain in SharePoint	
13.3.8	Microsoft Office 365 Groups when a user leaves the University	No information is deleted	Retain in Groups	
13.3.9	Microsoft Office 365 Groups when a group owner leaves or the group is inactive	All groups are assessed annually, deactivated after 30 days warning	Deactivation + 12months	
11.3.10	Active Directory account user identity (limited to account name, not content)	Retained permanently	Held by IT Servicesin suspended state	
13.3.11	Zoom account when a user/office holder leaves the University	User departure + 30 days (can be extended to 3 months)	Retrieve important files for cloud-saving, if office holder and Destroy (unless specific authorised reason to retain for the sake of the files) or if possible, reassign account to the next office holder.	
13.4 Information Security				ICT Directorate
13.4.1	Records documenting attempted or actual security breaches of IT systems, investigations and actions taken	Last action on breach + 6 years	Destroy	
13.4.2	Records of security testing undertaken on systems and applications, and resultingactions	Last action + 3 years	Destroy	
13.4.3	Records documenting extraordinary institutional accessto individual user accounts	End of access period + 3 years	Destroy	
13.5 User Support Services				ICT Directorate
13.5.1	Development and content of IT training and guidance programmes	Until superseded by new programmes + 3 years	Destroy	
13.5.2	Logs of requests for assistance from IT system users and action	Date of resolution + 3 years	Destroy	

14. 0 Health and Safety

S/N	Record Description	Retention Period	Action at End of Retention Period	Record Owner
14.1 General Health and Safety				General Administration & Operations Directorate (GAOD)
14.1.1	Health and safety policy	Academic year created + 50 years	Reappraise for further retention ordestruction	
14.1.2	Health and safety inspections, audits, risk assessments and records of actions taken as a result	Completion of inspection or audit + 10 years (though longer retention periodsmay be necessary depending on findings)	Reappraise for further retention ordestruction	
14.1.3	Records of preventive and protective health and safety measures requiredby regulations	Until superseded + 5 years	Reappraise for further retention or destruction	
14.1.4	Records of health and safety committees	See 1.3	See 1.3	
14.1.5	Annual health and safety reports	Held as part of relevant committee papers	See 1.3	
14.1.6	Records concerning health and safety advisors(appointment, training, communications)	End of an individual's appointment + 5 years	Destroy	
14.1.7	General health and safety information, induction and trainingmaterials for staff, student and visitors	Until superseded by new materials + 5 years	Destroy	
14.1.8	General risk assessments of healthand safety hazards	Until superseded by updated risk assessment + 5 years	Destroy	
14.1.9	Manual handling assessments	Superseded or activity end	Destroy	

14.1.10	Display screen equipment assessments	End of employment + 6 years	Destroy	
15.2 Investigation and Incident Reporting				General Administration & Operations Directorate (GAOD)
15.2.1	Formal investigations and reports into injuries, dangerous occurrences, accidents, incidents involving hazardous substances, environmental incidents and outbreaks of notifiable diseases on University premises	Closure of investigation + 40 years	Destroy	
15.2.2	Official notifications as required of injuries, dangerous occurrences, accidents, incidents involving hazardous substances, environmental incidents and outbreaks of notifiable diseases on University premises	Date of notification + 10 years	Destroy	
15.3 Hazardous Substances				General Administration & Operations Directorate (GAOD)
15.3.1	Risk assessments involving hazardous substances (e.g. biological agents, lead, asbestos, ionising radiation etc.)	Until superseded by updated risk assessment + 10 years	Reappraise for further retention or destruction	
15.3.2	Health and safety instructions and training records for employees exposed to hazardous substances	End of employment + 40 years	Destroy	
15.3.3	Health surveillance and occupational health records of employees exposed to hazardous substances	End of employment + 40 years	Destroy	
15.3.4	Emergency and incident plans concerning hazardous substances	Until superseded by new plans + 10 years	Destroy	
15.3.5	Records concerning work with asbestos	Completion of work + 40 years	Reappraise for further retention or	

15.3.6	Records concerning work with radioactive and other hazardous material	Completion of work + 40 years	Reappraise for further retention or	
15.3.7	Records concerning the location and quantity of radioactive substances	Disposal of radioactive substance + 6 years	Destroy	
15.3.8	Records relating to disposal of hazardous and clinical waste	Disposal of waste +6 years	Destroy	
15.3.9	Records relating to disposal of general waste	Disposal of waste + 2 years	Destroy	
15.4 Fire Safety and First Aid				
15.4.1	Records detailing the appointment, instruction and training of fire wardens and first aiders	End of the individual's appointment + 3 years	Destroy	
15.4.2	Fire safety risk assessment and drill procedures	Until superseded by updated risk assessment or new procedures + 3 years	Destroy	
15.4.3	Fire-fighting and safety equipment testing	Until re-tested + 3 years	Destroy	
15.4.4	Assessments of first aid facilities, equipment and personnel	Until superseded by updated assessment + 3 years	Destroy	
15.4.5	Arrangements between the University and the emergency services in the case of fire or medical emergency	Until superseded by new arrangements +5 years	Destroy	

16.0 Alumni Relations and Tracer Studies

S/N	Record Description	Retention Period	Action at End of Retention Period	Record Owner
16.1	**Administration of Relationships with Alumni, Donors and Supporters**			URD
16.1.1	Basic records concerning individual alumni, donors and supporters	Retain permanently, unless individual asks for their details to be removed	Retain in Development and Alumni Relations Office	

16.1.2	Records of transactions with major donors to the University	Retained permanently unless individual asks for their details to be removed	Retain in Development and Alumni Relations Office	
16.1.3	Records of transactions with minor donors to the University	Retain permanently, unless deemed unnecessary or individual asks for their details to be removed	Retain in Development and Alumni Relations Office, but reappraise for further retention or destruction	
16.1.4	Paying in books and related financial information	Relevant transactions + 6 years	Destroy	
16.1.5	Statistics, surveys and research relating to alumni, donors and supporters	While necessary for reference and future planning purposes	Destroy	
16.1.6	Records detailing regulatory considerations and compliance	Length of relevant activity + 3 years	Destroy	
16.1.7	Records concerning mailings	Completion of mailing or campaign + 1 year	Destroy	
16.2: Fundraising, Events and Publications				
16.2.1	Design, conduct and results of fundraising campaigns and initiatives	While necessary for reference and future planning purposes	Destroy	
16.2.2	Reports on outcomes of fundraising campaigns and initiatives	Completion of campaign + 6 years	Reappraise for further retention or destruction	
16.2.3	Planning and organisation of events and meetings (e.g. reunions, corporate occasions) for cohorts of alumni, donors and supporters	While necessary for reference and future planning purposes	Destroy	
16.2.4	Reports on outcomes of events for cohorts of alumni, donors and supporters	Completion of event + 6 years	Reappraise for further retention or destruction	
16.2.5	Regular publications (e.g. magazines) for alumni, donors and supporters	3 copies retained permanently	Send to University archives	
16.2.6	Irregular publications for alumni, donors and supporters, or concerning fundraising campaigns and initiatives/events	While necessary for reference and future planning purposes	Reappraise for further retention or destruction	
16.3 Alumina Tracer Studies				QAPD
16.3.1	Alumni Tracer Study Reports	5 years after the completion of the tracer study.	Destroy	
16.3.2	Survey Instruments and Questionnaires	2 years after the publication of the related tracer study	Destroy	

		report		
16.3.3	Correspondence and Communications eg. Letters, emails	2 years after the completion of the tracer study	Destroy	
16.3.4	Data Privacy and Consent Forms	5 years after the completion of the tracer study	Destroy	
16.3.5	Evaluation and Review Documents:	3 years after the completion of the evaluation	Destroy	

Appendix 2: Records Disposal Form

This form should be filled upon disposal or movement of a record to Archives

GCTU Records Disposal Form				
Department/ School/ Faculty/ Office:				
Information Asset Owner (name and role):			Email:	
			Phone:	
Record title/description:				
Record format:				
Classification: (Tick as appropriate)	Top Secret		Confidential	
	Secret		Open	
	Restricted		Public	
Reason for disposal:				
Method of disposal: (Tick as appropriate)	Destruction:		Transferred to Archives:	
Method of destruction: (Tick if applicable)	Non-confidential waste or recycling		Confidential shredding	
	Digital deletion from University network (e.g. Central file store, database etc.)		Digital deletion from Other location (e.g. cloud service, mobile Device etc.)	
Approximate number of records:				
Date of disposal:				