

ARCHIVING AND RETENTION OF PRIME DOCUMENTS AND BUSINESS RECORDS

SUMMARY OF PRINCIPAL CHANGES

General changes	
None	
Section	
5.10.16, 5.10.17	Multiple-choice answer sheets – refer to text

(Amendments to version 03.0, Appendix I, UPR IM11, are shown in italics.)

1 INTRODUCTION

1.1 In accordance with the requirements of UPR FR06¹, the Secretary and Registrar has established the following regulations and procedures for the management and retention of the University's prime documents² and business records. These records and procedures form part of the University's Records Management Policy (UPR IM11³, refers).

1.2 Date of effect

Unless indicated otherwise in the text, the amendments to this document, shown in italics, are effective from 1 January 2016.

2 SCOPE

2.1 The regulations and procedures set out in this document are binding on all Members of the University (UPR GV06⁴, refers) and specify the periods for which the University's prime documents and the important business records referred to in this document must be retained to enable it to comply with legal and other statutory requirements, such as the Data Protection Act 1998 and to meet its operational and business needs. The retention schedule applies to all prime documents and the important business records referred to in this document in all formats (physical and electronic).

2.2 Academic agreements

Administrative audits in preparation for the validation of collaborative arrangements under the terms of academic agreements, as defined in the Financial Regulations (UPR FR06)¹, will ensure that Partner Organisations' proposals for the storage and retention of prime documents and business records are consistent with the requirements of these regulations (Appendix I, UPR IM11).

3 ROLES AND RESPONSIBILITIES

3.1 The Secretary and Registrar is the Chief Administrative Officer of the University and is responsible for the management, archiving and retention of the University's prime documents and business records and for maintaining the University's official record.

¹ UPR FR06 'Corporate Governance and Financial Regulations'

² Extract from UPR FR06 'Corporate Governance and Financial Regulations':

"3.15 'Prime Document':

as determined by these regulations (UPR FR06) or from time-to-time by the Secretary and Registrar, documents relating to the regulation, conduct or decisions of the Corporation, the companies or the Charitable Trust (section 3.20, refers) or the authorisation of their activities including, but not necessarily limited to, Schemes of Delegation, University Policies and Regulations (the series of documents through which the University publishes its institutional policies, procedures and regulations), financial records, legal agreements, personal information (including registration documents), machine readable data"

³ UPR IM11 'Records Management and the Archiving and Retention of Prime Documents and Business Records'

⁴ UPR GV06 'Membership of the University'

3.2 The Secretary and Registrar has delegated responsibility for certain records and sections of the official record to various Officers of the University (section 5, column 'C', refers). For this purpose these Officers act as nominees of the Secretary and Registrar.

4 REGULATIONS

4.1 The Secretary and Registrar (or nominee) will retain prime documents and the important business records referred to in this document and maintain the University's official record in accordance with the requirements of the schedule in section 5.

4.2 Officers listed in section 5, column 'C' and other members of staff who store material which is not referred to specifically in the schedule should seek advice from the Records Manager in the first instance prior to disposing of such material. Where appropriate, the Records Managers will consult the Secretary and Registrar and the Chief Information Officer.

4.3 Material relating to the history of the University

Material relating to the history of the University and its buildings or campuses, for example, correspondence or photographs will normally be retained permanently under arrangements agreed with the Secretary and Registrar. Loans, donations and sales of such material will be approved in accordance with the requirements of UPR FR06¹.

5 SCHEDULE FOR THE ARCHIVING AND RETENTION OF PRIME DOCUMENTS

5.1 This schedule is not an exhaustive list of the University's records, documents and files and will be amended, as appropriate, from time-to-time. The schedule will be developed in line with best practice, legislative requirements and with input from relevant Officers in order to reflect the business needs of the University and its component Strategic Business Units.

5.2 The Officers listed in column 'C' and other members of staff who store material which is not mentioned specifically in the Schedule should seek advice from the Records Manager prior to disposing of it. In developing its retention policies, the University will take account of the Joint Information Systems Committee Records Retention Schedule.

5.3 Governance

(Records relating to the University's corporate governance structure and rules, including its establishment and development, and to the conduct of the business, including compliance.)

	A	B	C
	Record Series	Minimum period for which the Record Series is to be retained	Officer responsible for archiving, document retention and for maintaining the University's official record
5.3.1	<p>Board of Governors and Boards and Committees of the Board of Governors, excluding the Remuneration Committee</p> <p>Agendas, Agenda papers and Minutes</p>	Permanent	Head of Governance Services

	A	B	C
	Record Series	Minimum period for which the Record Series is to be retained	Officer responsible for archiving, document retention and for maintaining the University's official record
5.3.2	Remuneration Committee of the Board of Governors Agendas, Agenda papers and Minutes	Permanent	Director of Human Resources
5.3.3	Academic Board and Boards and Committees of the Academic Board managed by the Governance Services (Agendas, Agenda papers and Minutes) (For Boards of Examiners refer to section 5.10.18)	Permanent	Head of Governance Services
5.3.4	Committees or boards within the committee structure of the Academic Board which operated within the <i>Schools</i> or Research Institutes Agendas, Agenda papers and Minutes (For Boards of Examiners refer to section 5.10.18)	Permanent	<i>Relevant School Administration Managers</i> will have archived records in accordance with the instructions of the Secretary and Registrar published on 25 July 2012

	A	B	C
	Record Series	Minimum period for which the Record Series is to be retained	Officer responsible for archiving, document retention and for maintaining the University's official record
5.3.5	<p>Wholly-owned subsidiary companies and their wholly-owned subsidiaries</p> <p>Company Books</p> <p>Minute Books</p>	<p>Permanent</p> <p>Permanent</p>	<p>Director of Legal Services and University Solicitor <i>or in accordance with other arrangements agreed by the Secretary and Registrar</i></p> <p>Head of Governance Services where not kept by the Company Secretary <i>or in accordance with other arrangements agreed by the Secretary and Registrar</i></p>
5.3.6	<p>Partly-owned subsidiary companies</p> <p>Company Books and Minute Books</p>	<p>Permanent</p>	<p>Company Secretary <i>or in accordance with other arrangements agreed by the Secretary and Registrar</i></p>
5.3.7	<p>University Calendars and Academic Year Calendars</p>	<p>Permanent</p>	<p>Head of Governance Services</p>
5.3.8	<p>University Policies and Regulations</p>	<p>Permanent</p>	<p>Head of Governance Services</p>
5.3.9	<p>Registers of Interest</p>	<p>Term of the Registree's employment/consultancy/relationship with the University plus seven (7) years</p>	<p>Head of Governance Services</p>
5.3.10	<p>Internal Audit Reports</p>	<p>Five (5) years</p>	<p>Head of Internal Audit</p>

5.3.11 Working groups

Working groups may be convened for specific purposes either by a committee or board with the Board of Governors structure or the Academic Board structure or by a committee or group within the Structure of Executive Management Groups approved by the Vice-Chancellor or directly or indirectly, on the authority of a Head of Strategic Business Unit.

It is assumed that the final reports of such working groups will include all relevant/necessary information required to substantiate the recommendations and arguments made by a working group to its commissioning board, committee or officer.

	A	B	C
	Record Series	Minimum period for which the Record Series is to be retained	Officer responsible for archiving, document retention and for maintaining the University's official record
	Working Groups	Two (2) years after <u>receipt</u> by the commissioning board, committee or officer of the final report.	Convenor of the Working Group concerned

5.4 Legal Affairs Management

(Records relating to the management of the University's legal affairs and the provision of legal advice to the University by internal and external legal advisers.)

	A	B	C
	Record Series	Minimum period for which the Record Series is to be retained	Officer responsible for archiving, document retention and for maintaining the University's official record
5.4.1	Licence agreements which are: the responsibility of the Chief Information Officer; <i>otherwise</i>	Permanent	Chief Information Officer <i>Director of Legal Services and University Solicitor</i>

	A	B	C
	Record Series	Minimum period for which the Record Series is to be retained	Officer responsible for archiving, document retention and for maintaining the University's official record
5.4.2	<p>Copyright clearance agreements which are not the responsibility of the Chief Information Officer</p> <p>Former Faculties:</p> <p>Schools:</p> <p>Professional Strategic Business Units</p>	<p>Permanent</p> <p>Permanent</p> <p>Permanent</p>	<p>Relevant School Administration Manager</p> <p>Relevant School Administration Manager</p> <p>Head of Strategic Business Unit</p>
5.4.3	University of Hertfordshire Press author contracts	Permanent	Chief Information Officer
5.4.4	Deeds (including academic agreements as defined in UPR FR06 ¹)	Permanent	Director of Legal Services and University Solicitor
5.4.5	Contracts Under Seal	Twelve (12) years following the end of the term of the contract	Director of Legal Services and University Solicitor
5.4.6	Contracts Not Under Seal	Six (6) years following the end of the term of the contract	Director of Legal Services and University Solicitor
5.4.7	Litigation files	Six (6) years following settlement of the case, then to be reviewed by the Director of Legal Services and University Solicitor who will determine their archival value	Director of Legal Services and University Solicitor
5.4.8	European Regional Development Fund (ERDF) documentation (effective 1 September 2011)	Fourteen (14) years following the end of the project	Relevant School Administration Manager

5.5 Health and safety management

(Records relating to compliance with legislation on health and safety matters and managing the impact of the University's operations on the health and safety of its staff, students and others while on its premises and in other places where they may be affected by the University's operations.)

- 5.5.1 Where responsibility for these documents and files is shared between the Director of Estates, Hospitality and Contract Services and the Director of Occupational Health and Safety, these officers will establish appropriate procedures to ensure that the University's official record is maintained.

	A	B	C
	Record Series	Minimum period for which the item is to be retained	Officer responsible for archiving, document retention and for maintaining the University's official record
5.5.2	Asbestos Register	Thirty (30) years	Director of Estates, Hospitality and Contract Services/ Director of Occupational Health and Safety
5.5.3	Health and Safety files emanating from construction projects	Thirty (30) years	Director of Estates, Hospitality and Contract Services/ Director of Occupational Health and Safety
5.5.4	All other Health and Safety files (including Occupational Health Records)	Thirty (30) years	Director of Occupational Health and Safety

5.6 Finance Management

(Records relating to the management of the University's financial resources, including procurement and purchasing activities.)

	A	B	C
	Record Series	Minimum period for which the item is to be retained	Officer responsible for archiving, document retention and for maintaining the University's official record
5.6.1	Correspondence	Seven (7) years (maximum) subject to local policies	Head of Strategic Business Unit

	A	B	C
	Record Series	Minimum period for which the Record Series is to be retained	Officer responsible for archiving, document retention and for maintaining the University's official record
5.6.2	Finance files	Current Financial year plus six (6) years	Group Director of Finance
5.6.3	Statutory returns to Government Agencies	Ten (10) years	Group Director of Finance
5.6.4	Pre-qualification Questionnaires and administration of tender admissions	Award of contract plus one (1) year	Head of Procurement
5.6.5	Invitations to tender and evaluation criteria	Award of contract plus six (6) years	Head of Procurement
5.6.6	Tender evaluations (unsuccessful candidates)	Award of contract plus one (1) year	Head of Procurement
5.6.7	Tender evaluations (successful candidates)	End of contract plus six (6) years	Head of Procurement
5.6.8	Contract Management records (including monitoring records and Service Level Agreements)	End of contract plus six (6) years	Head of Procurement
5.6.9	Purchase Orders with a value above £5,000	Current Financial year plus six (6) years	Head of Procurement
5.6.10	Purchase orders with a value below £5,000	Current Financial year plus six (6) years	Finance manager of the relevant Strategic Business Unit

5.7 Estates management

(Records relating to the function of managing the University's estate.)

	A	B	C
	Record Series	Minimum period for which the item is to be retained	Officer responsible for archiving, document retention and for maintaining the University's official record
5.7.1	Estates drawings	Permanent	Director of Estates, Hospitality and Contract Services
5.7.2	Parking Permit Applications	Issue of permit plus one (1) year	Head of the Student Centre

5.8 Human Resources

(Records relating to the management of the University's workforce and its contractual relationships with individual employees.)

5.8.1 Whilst the Director of Human Resources is responsible for the University's centrally held personnel records, it is recognised that staff files may also be retained in Strategic Business Units. Such files, held manually and/or electronically, are subject to the provisions of the Data Protection Act 1998 and those holding such files must ensure that they are working within the requirements of the Act (UPR IM08⁵, refers).

5.8.2 Applicant information relating to discontinued applications may not be retained in Strategic Business Units following completion of a recruitment and selection process, without the specific agreement of the individual applicant concerned. All hard copy applicant information must be disposed of as confidential waste.

	A	B	C
	Record Series	Minimum period for which the item is to be retained	Officer responsible for archiving, document retention and for maintaining the University's official record
5.8.3	Personnel files for individual employees	Seven (7) years after the individual has ceased to be an employee	Director of Human Resources

⁵ UPR IM08 'Data Protection'

	A	B	C
	Record Series	Minimum period for which the item is to be retained	Officer responsible for archiving, document retention and for maintaining the University's official record
5.8.4	Summary entry for individual employees	Permanent	Director of Human Resources
5.8.5	Statutory returns to Government Agencies	Ten (10) years	Director of Human Resources
5.8.6	Outline action plans (arising from staff appraisals)	Until the individual ceases to be an employee	Head of Strategic Business Unit/line manager (as appropriate)
5.8.7	Discontinued applications (effective 13 June 2012)	Six (6) months	Director of Human Resources ⁶

5.9 Pay and pensions

(The activities involved in administering the University's employee payroll and remuneration.)

	A	B	C
	Record Series	Minimum period for which the item is to be retained	Officer responsible for archiving, document retention and for maintaining the University's official record
5.9.1	Payroll (Pay Advice Slips)	The current Tax Year and the three (3) previous Tax Years	Director of Human Resources
5.9.2	Pension records	Permanent	Director of Human Resources
5.9.3	P35s	The current Tax Year and the Six (6) previous Tax Years	Director of Human Resources
5.9.4	All other payroll records	The current Tax Year and the three (3) previous Tax Years	Director of Human Resources

5.10 **Academic management and student administration**

(Records relating to the administration of the University's contractual relationships with its students, the delivery of its academic programme, the conferment of academic awards, the conduct of student assessments and the setting, administration and collection of tuition fees and the allocation of other financial support funds available students.)

- 5.10.1 Applicant information relating to discontinued applications should normally be held only in the University's business systems and not locally in Strategic Business Units. Exceptionally, applicant information may be retained in Strategic Business Units temporarily for resolving specific issues and for decision-making purposes. Where this is the case, the applicant information must be disposed of immediately following completion of the relevant specific task. All hard copy applicant information must be disposed of as confidential waste⁶.

	A	B	C
	Record Series	Minimum period for which the item is to be retained	Officer responsible for archiving, document retention and for maintaining the University's official record
5.10.2	Official publications of the University (including the University's Prospectuses)	One (1) copy to be deposited permanently in the University Archive held by Information Hertfordshire	Director of Marketing and Communications/Chief Information Officer
5.10.3	Definitive Scheme Documents/Programme Specifications (current and withdrawn programmes)	Permanent	Assistant Registrar (Academic Services)
5.10.4	Model Course Descriptions/Course Information Forms/Definitive Module Documents Prior to 1 September 2000 From 1 September 2000	Permanent Permanent	Prior to 2000 relevant School Administration Manager Assistant Registrar (Academic Services)
5.10.5	Discontinued applications (effective 13 June 2012)	A minimum of eighteen (18) and a maximum of two (2) years from the date of the application to the University	Head of the Student Centre on behalf of the Academic Registrar ⁶

	A	B	C
	Record Series	Minimum period for which the item is to be retained	Officer responsible for archiving, document retention and for maintaining the University's official record
5.10.6	Students' personal files	Twelve (12) years after the student has graduated/left	Relevant School Administration Manager
5.10.7	Academic Misconduct records	Twelve (12) years after the student has graduated/left	Relevant School Administration Manager
5.10.8	Students personal files – withdrawn students	Twelve (12) years after the student has left the University	Relevant School Administration Manager

(NOTE:

Students' personal files

a A Student's personal file (referred to sections 5.10.6 and 5.10.7 (above)) must be retained for a minimum of twelve (12) years after a student has graduated/left. It is recognised that information concerning students may be retained elsewhere manually and/or electronically subject to the provisions of the Data Protection Act 1998, but the following defines the content of the file, to be held in the Student Archive File, as the University's core record.

b Purpose

Personal data is held by the University for several purposes, as defined in section 11, UPR IM08⁵. With regard to students the relevant purposes will be mainly, but not exclusively:

Purpose 4: 'Provision of Education Services as a Primary Function'

Purpose 5: 'Staff and Student Support Services'

Purpose 6: 'Academic Research and/or Statistical Analysis'.

c Definition of 'student's personal file'

Information retained about a student which records the following information:

Student name and identifier;	Educational background;
Date of Birth;	Programme of study and dates;
Gender;	Assessment results;
Addresses;	Name, date and result of award achieved.

d Collaborative agreements

Schools / Strategic Business Units with responsibility for collaborative programmes will ensure that partner institutions' core records are consistent with the minimum requirement defined in **C** and **G**.

e Roles and responsibilities

The Secretary and Registrar is responsible for maintaining the University's official record and in accordance with Appendix I, UPR IM11 has delegated the responsibility for maintaining students' personal files to the relevant School Administration Manager.

f Security

The School Administration Manager will ensure the safe-keeping of such files and will control the numbers of staff holding, processing and accessing students' personal data in accordance with the provisions of UPR IM08⁵.

g Content

g.1 The personal data defined in section **C** is generally provided by standard University documents which together form the core record known as the student's personal file which is to be archived. Therefore it is expected that each core, archived file will contain:

- a Application form and associated papers, including the University offer letter;
- b Placement record;
- c Signed Final Transcript detailing qualification achieved;
- d Mandatory data required by professional bodies.

g.2 The official documents recording each student's registration and tuition fee status are maintained separately by the Assistant Registrar (Student Registration).

g.3 Documentation/evidence relating to extenuating circumstances, medical conditions or appeals may be held separately and confidentially for Boards of Examiners and should be archived confidentially. An appropriate retention period will be applied in compliance with the Data Protection Act 1998.

g.4 Guidance on retention of documents supplementary to the core record of the student's personal file is contained in Standard Procedures and Practices (SPPs) available on StudyNet.)

	A	B	C
	Record Series	Minimum period for which the item is to be retained	Officer responsible for archiving, document retention and for maintaining the University's official record
5.10.9	Academic achievement and qualification information (Transcripts)	Data to be held permanently on the Management Information System	Academic Registrar

5.10.10 Collaborative agreements

Administrative audits in preparation for the validation of collaborative agreements will ensure that partner institutions' proposals for the archiving and retention of prime documents are consistent with the requirements of these regulations (Appendix I, UPR IM11).

	A	B	C
	Record Series	Minimum period for which the item is to be retained	Officer responsible for archiving, document retention and for maintaining the University's official record
5.10.11	Research students' files	Twelve (12) years after end of student's relationship with University	Assistant Registrar (Academic Services)
5.10.12	Students enrolled on programmes leading to the award of a licence to practice (including nursing, teaching and/or work with minors and vulnerable adults) Student records and files	Sixty (60) years after end of student's relationship with University	Relevant School Administration Manager
5.10.13	Undergraduate student projects	To be returned to student unless it has been agreed that a project should be held by the School as an example	Relevant School Administration Manager
5.10.14	External Examiners' – records of appointment and payment	Seven (7) years	Assistant Registrar (Academic Services)
5.10.15	Master examination papers and solutions	Seven (7) years	Relevant School Administration Manager
5.10.16	Examination scripts (including multiple-choice answer sheets) at Levels 0 and 4 (or equivalent level)	Twelve (12) months after the relevant Programme Board of Examiners' meeting	Relevant School Administration Manager
5.10.17	Examination scripts (including multiple-choice answer sheets) at Levels 5, 6 and 7 (or equivalent level)	Twelve (12) months after the student has graduated	Relevant School Administration Manager

	A	B	C
	Record Series	Minimum period for which the Record Series is to be retained	Officer responsible for archiving, document retention and for maintaining the University's official record
5.10.18	Other assessed work, which is defined for the purposes of these regulations as the sample of coursework retained for purposes of external moderation	Twelve (12) months after the relevant <i>Programme</i> Board of Examiners' meeting	Relevant School Administration Manager
5.10.19	Boards of Examiners (Principal, Module and Short Course): Minutes (including the relevant annotated Subject/ <i>Programme</i> Board-Module/ <i>Programme</i> Board of Examiners Reports)	Permanent	Relevant School Administration Manager
5.10.20	Award Pass Lists	Permanent	Assistant Registrar (Exams and Awards)
5.10.21	Conferment lists (to 31 August 2009)	Permanent	Assistant Registrar (Exams and Awards)
5.10.22	Statutory returns relating to Government Agencies	Ten (10) years	Academic Registrar
5.10.23	University statistics relating to student numbers	Twelve (12) years	Academic Registrar

5.11 Academic Quality

(Records relating to the activities involved in managing the quality and standards of the University's teaching.)

	A	B	C
	Item	Minimum period for which the item is to be retained	Officer responsible for archiving, documentation and for maintaining the University's official record
5.11.1	Module Feedback Questionnaires	Two (2) years	Assistant Registrar (Academic Services)
5.11.2	Programme Files (undergraduate and taught postgraduate) to include Planning meeting minutes, correspondence, supporting papers	Twelve (12) years	Assistant Registrar (Academic Services)
5.11.3	Programme specifications (previously Scheme/Programme Documents)	Permanent	Assistant Registrar (Academic Services)
5.11.4	Programme Approval Forms (Forms AQ3 and AQ4)	Permanent	Assistant Registrar (Academic Services)
5.11.5	Programme Withdrawal/ Programme Suspension Forms (AQ5/ AQ7)	Permanent	Assistant Registrar (Academic Services)
5.11.6	Validation Reports	Permanent	Assistant Registrar (Academic Services)
5.11.7	For events clerked by the Academic Quality Office	Current year plus six (6) years	Assistant Registrar (Academic Services)
	For events clerked by Schools	Current year plus six (6) years	Relevant School Administration Manager
5.11.8	Conditions Meeting Minutes	Twelve (12) years	Assistant Registrar (Academic Services)

	A	B	C
	Item	Minimum period for which the item is to be retained	Officer responsible for archiving, documentation and for maintaining the University's official record
5.11.9	Student Performance Monitoring Group Minutes	Current year plus six (6) years	Assistant Registrar (Academic Services)
5.11.10	Hertfordshire Higher Education Consortium (Agendas, Agenda Papers and Minutes of boards and committees within the formal governance structure)	Current year plus six (6) years	Assistant Registrar (Student Administration – Collaborative Partnerships)
5.11.11	National Student Survey (NSS) documents	Current year plus six (6) years	Assistant Registrar (Academic Services)
5.11.12	Annual Monitoring and Evaluation Reports (AMERS)	Current year plus six (6) years	Relevant School Administration Manager
5.11.13	Quality Assurance Agency audit documents and audit documents of other external academic quality assurance agencies	Current year plus six (6) years	Assistant Registrar (Academic Services)
5.11.14	External Examiners records (short course, undergraduate and taught postgraduate)	Current year plus six (6) years	Relevant School Administration Manager
5.11.15	External Examiners records (research degrees)	Current year plus twenty (20) years	Assistant Registrar (Academic Services)
5.11.16	Academic Agreements (including Memoranda of Understanding, Articulation Agreements, Academic Support Agreements and Recognition Agreements)	End of contract plus six (6) years	Assistant Registrar (Academic Services)

6 **AMENDMENTS TO THE SCHEDULE FOR THE ARCHIVING AND RETENTION OF PRIME DOCUMENTS**

- 6.1 Proposed amendments to the Schedule will be recommended to the Secretary and Registrar, in writing, by the relevant responsible officer referred to in column 'C' who will provide full information in support of the proposed change.
- 6.2 Amendments to the Schedule which have been approved by the Secretary and Registrar will be notified to the Chief Information Officer.

Mrs S C Grant
Secretary and Registrar
Signed: **11 December 2015**