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## 1. Governance and Management

### 1.1 Governance

Ref.	Record category	Examples of record category	Department	Retention period	Disposal action	Example	Authority	Added/ Amended	Format	Storage	Level of Restriction
1.1.1	Charter, statutes and Standing Orders		Governance and Compliance	Retain permanently	N/A	N/A	Jisc/Historical Interest	Apr-14	Electronic and paper	Onsite Special Collections Shared drive SOAS website	Unrestricted
1.1.2	Corporate Strategies: Key Records		Governance and Compliance	Ten years from date superseded	Transfer to Special Collections for appraisal of archival value	N/A	Jisc	Jul-14	Electronic	SOAS website Shared drive	Unrestricted
1.1.3	Faculty Strategic Plans		Planning	Retained permanently	Retained as part of the Governing Body papers	N/A	Jisc/Historical Interest	Jan-14	Paper and electronic	Onsite SharePoint Shared drive	Restricted
1.1.4	Benchmarking exercises with other institutions		Finance, Governance and Compliance	One year from the end of the calendar year in which generated	Destroy at end of retention period	A financial benchmarking exercise is completed in March 2009. The records relating to the exercise are retained for one year from December 2009 and destroyed in January 2011	Jisc	Jan-14	Paper	Off-site	Unrestricted

1.1.5	Principal Officers Correspondence	Director's general correspondence, Pro-Directors' correspondence, Secretary's correspondence, Registrar's correspondence, Dean of Faculties correspondence, Head of Doctoral School correspondence	Governance and Compliance	2 years after end of academic year in which last correspondence on file took place	Review file and either weed or retain all. Transfer to Special Collections (Library) after 30 years or after the Principal Officer terminates his employment, whichever is first. Contact Special Collections if storage is needed for more recent material	N/A	Historical value	Jul-14	Paper and electronic	Off-site Googlemail	Restricted
1.1.6	Internal meetings minutes and papers (excluding committees)	Staff meetings, section meetings, departmental meetings, informal working group meetings	All departments	Retain as long as operationally required	Destroy at end of retention period	N/A	Operational need	Sep-14	Electronic and paper	Shared drive SharePoint onsite SharePoint	Restricted

1.2 Committees

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
1.2.1	Minutes, agendas and agenda papers of statutory committees	Governing Body minutes and papers, Academic Board minutes and papers	Governance and Compliance	Permanent	Transfer to Special Collections (Library) after 30 years. Contact Special Collections if storage is needed for more recent material	Minutes, agendas and agenda papers of Academic Board are retained by the Board's secretary and eventually handed to their successor. After 30 years, the material is transferred as archives to the Special Collections Department and made available to researchers	Jisc	Mar-14	Paper and electronic	SharePoint Shared drive Onsite - Governance and Compliance safe (GB minutes as these are signed) Special Collections (up to 2010)	Restricted/ Unrestricted (Dependent on whether reserved or open minutes)
1.2.2	Minutes, agendas and agenda papers of committees in the School's formal committee structure (except committees abolished before 2007-08)	Audit committee, Health and safety committee, LMEI Board of Trustees, Honorary Degrees and Fellowships committee, Nominations committee, Senior Staff Remuneration committee, Executive Board, Resources and Planning committee, Equality and Diversity committee, Academic Development committee, Learning and Teaching Quality committee, Student Experience committee, Estates and Infrastructure committee, External Relations and Communications committee, Human Resources	Governance and Compliance Registry: Student Support and Records , External Relations, faculty offices	Permanent	Transfer to Special Collections (Library) after 30 years. Contact Special Collections if storage is needed for more recent material	Minutes, agendas and agenda papers of Executive Board are retained by the Board's secretary and eventually handed to their successor. After 30 years, the material is transferred as archives to the Special Collections Department and made available to researchers	Jisc	Mar-14	Electronic and paper	Governance and Compliance Safe Special Collections SharePoint Onsite Shared drive	Restricted/ Unrestricted (Dependent on whether reserved or open minutes)

1.2.3	Minutes, agendas and agenda papers of committees in the School's formal committee structure: committees abolished before 2007-08	Committee of Management minutes and papers, Academic Services committee, Brunei Gallery committee	Governance and Compliance	Minutes, agendas: permanent Agenda papers: destroy 10 years after meeting, except for: i. Papers of Finance and General Purposes Committee: retain permanently. ii. Papers bound with minutes and agendas: retain permanently	Transfer material which is to be retained permanently to Special Collections (Library) after 30 years. Contact Special Collections if storage is needed for more recent material	The records of an abolished committee are inherited by the secretary of one of the committee's successor committees. Agenda papers are progressively destroyed by the secretary once they are over 10 years old. After 30 years, the reduced set of minutes and agendas is transferred as archives to the Special Collections Department and made available to researchers	Jisc	Mar-14	Paper and electronic	Governance and Compliance Safe Special Collections SharePoint Shared drive	Restricted/ Unrestricted (Dependent on whether reserved or open minutes)
1.2.4	Minutes, agendas and agenda papers of committees: working papers	Draft agendas, draft minutes where there is a final approved version, copies of appendices	All departments	Working copies can be destroyed when no longer required for operational purposes, as long as the primary record owner is maintaining the primary version in line with the retention schedule	Destroy at end of retention period	A committee member prints off a copy of the minutes and papers for Academic Board and makes notes on the copy. Once no longer required for reference, the copy is destroyed	Operational need	Mar-14	Paper	Onsite	Restricted
1.2.5	Minutes, agendas and agenda papers of committees not in the School's formal committee structure		All departments	Five years from the end of the year of the abolishment of the committee	Destroy at end of retention period	A committee ceases to exist after July 2009. The minutes, papers and agendas of the committee are kept for 5 years from December 2009 and then destroyed in January 2015	Jisc	Mar-14	Paper and electronic	Onsite Shared drive	Restricted/ Unrestricted (Dependent on whether reserved or open minutes)

1.2.6	Committee training programme material		Governance and Compliance: Secretariat	Five years from when superseded	Destroy at end of retention period	N/A	Jisc	Nov-15	Electronic	Personal drive	Internal: SOAS Staff and Students
1.2.7	Appointment/election/designation of the institution's senior officers	Records of the appointment of the Director, Pro-Directors and Registrar and Secretary, President, members of Statutory committees	Governance and Compliance	6 years from the termination of employment	Transfer to Special Collections for appraisal	A Director terminates their employment in July 2004. The personnel file is maintained for 6 years from August 2004 and then in August 2010, it is transferred to Special Collections for further appraisal	Jisc	Mar-14	Paper and electronic	Shared drive On-site	Restricted
1.2.8	Guidance for committees		Governance and Compliance: Secretariat	Retained until superseded	Destroy at end of retention period	N/A	Operational need	Apr-14	Electronic	Shared drive	Unrestricted
1.2.9	Signing in sheets for committees		Governance and Compliance: Secretariat	One year from date of meeting	Destroy at end of retention period	The signing in sheet relates to a meeting on 3 September 2011. The sheet is maintained for 1 year from 4 September 2011 and destroyed after 4 September 2012	Operational need	Apr-14	Paper	Onsite	Unrestricted

1.2.10	Register of Interests	Register of Interests for external members of committees	Governance and Compliance	Six years from the termination of employment	Destroy at end of retention period	Employment is terminated in August 2003. The register of interests is retained for 6 years from September 2003 and destroyed in September 2009	Limitations Act	Mar-14	Paper and elec	Shared drive Onsite	Restricted
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### 1.3 Audit

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
1.3.1	Audit files	Internal audit, External audit	All departments	Five years from completion of audit	Destroy at end of the retention period	An internal audit is completed in January 2009. The files are kept for 5 years from February 2009. The files are then destroyed in February 2014	Limitations Act 1980	Mar-14	Paper and electronic	Off-site Shared drive	Restricted
1.3.2	Audit: working papers	working papers of audit, draft audit reports	All departments	Can be destroyed after the report is completed	Destroy at end of retention period	N/A	Operational need	Mar-14	Paper and electronic	On-site Shared drive	Restricted
1.3.3	Internal Procedures		All departments	Retain whilst operationally required	Destroy at end of retention period	N/A	Operational need	Feb-15	Electronic	Shared drive	Internal only: SOAS staff

### 1.4 Risk Management

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
1.4.1	Risk Management Policy and Strategy		Governance and Compliance	Five years from the end of the calendar year in which superseded	Destroy at end of retention period	The Policy is superseded in February 2000. The old version is retained for 5 years from January 2001 and then destroyed after January 2006	Jisc	Nov-15	Paper and electronic	Shared drive On-site	Internal only: SOAS Staff and Students



1.4.2	Risk Management Procedure		Governance and Compliance	Three years from the end of the calendar year in which superseded	Destroy at end of retention period	The procedure is superseded in June 2000. The old version is retained for 3 years from January 2001 and then destroyed in January 2006	Jisc	Nov-15	Paper and electronic	Shared drive On-site	Internal only: SOAS Staff and Students
1.4.3	Business Continuity Plan	Disaster Recover Plans	All departments	One year from the end of the calendar year in which superseded	Destroy at end of the retention period	A business continuity plan is superseded in July 2001. The superseded business continuity plan is kept for one year from December 2001 and then destroyed in January 2003	Jisc	Mar-14	Paper and electronic	Shared drive On-site	Restricted
1.4.4	Risk Registers	Records documenting identified risks to the institution and assessments of those risks	All departments	One year from the end of the calendar year in which superseded	Destroy at end of retention period	The risk register is superseded in May 2001. The old version is retained for 1 year from December 2001 and can be destroyed after January 2003	Jisc	Mar-14	Paper and electronic	Shared drive On-site	Restricted

#### 1.5 Quality Management

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
1.5.1	Quality audits	Conduct, results and action taken following quality audits. E.g. Quality control logs	All departments	Three years from completion of audit	Destroy at end of retention period	A quality audit was completed in March 2001. The quality control log is retained for three years from April 2001 and destroyed in April 2004	Jisc	Oct-14	Electronic	Shared drive	Restricted

#### 1.6 Legal Affairs

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
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1.6.1	Legal claims by or against SOAS which do not proceed to litigation or settlement		Governance and Compliance	Six years from the settlement or withdrawal of the claim	Review file to decide if it should be destroyed, given a new review date or retained permanently	The settlement is in July 2012. The records are retained for 6 years from August 2012 and reviewed in August 2018. The file is either destroyed, given an extended review date or retained permanently, depending on the need	Jisc	Jul-14	Paper and electronic	Off-site Shared drive	Restricted
1.6.2	Litigation records between SOAS and third parties			Six years from the settlement of case	Review file to decide if it should be destroyed, given a new review date or retained permanently. For cases where legal precedents are set, retain permanently	The settlement is in July 2012. The records are retained for 6 years from August 2012 and reviewed in August 2018. The file is either destroyed, given an extended review date or retained permanently, depending on the need	Jisc	Jul-14	Paper and electronic	Off-site Shared drive	Restricted

1.6.3	Legal advice		Governance and Compliance	Five years from the end of the calendar year to which it relates	Records of legal advice on interpretation of legislation affecting SOAS' legal framework or responsibilities, and relationship with central government or regulators, employee relations, or health, safety and environmental matters should be retained permanently	The file is closed in August 2012 and retained for 5 years from December 2012. The file is reviewed in January 2018 and then either destroyed or retained permanently depending on the type of record	Jisc	Mar-14	Paper and electronic	Off-site Shared drive	Restricted
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#### 1.7 Organisational Development

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
1.7.1	Organisational restructuring documentation		Governance and Compliance, Human Resources: Core HR	Five years from the completion of the restructuring process	Review and either extend the review date or transfer to the Special Collections for further appraisal if no longer operationally required	The organisational restructuring file has an end date of 01 July 2014. The file is retained for 5 years from 02 July 2014 and then on 02 July 2019, the file is reviewed and either the review date extended or the file transferred to the Special Collections	Jisc	Mar-14	Paper and electronic	Off-site Onsite Shared drive	Restricted

#### 1.8 Project Management

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
1.8.1	Project Management guidance		Governance and Compliance: Portfolio Management Office	Retain until superseded	Destroy at end of retention period	N/A	Jisc	Jul-14	Electronic	SharePoint	Internal: SOAS staff

1.8.2	Internally funded project files	Including project communications, project board minutes and papers, PIDs and projects run by the Portfolio Management Office etc Excluding IT system development projects	All departments	Seven years from the termination of project	Review file to decide if it should be destroyed, given a new review date , or weeded and core records retained permanently and transferred to Special Collections	A project finishes in January 2000. The project file is kept for 7 years from February 2000 and reviewed in February 2007. A decision is then made whether to destroy it, weed it, assign a new review date, or retain permanently	Operational need	Jul-14	Paper and Electronic	Shared drive Onsite SharePoint	Internal only: SOAS staff
1.8.3	Project management (files): externally funded		Library Special Collections	Six years from completion of the project, unless otherwise stipulated by the funding body	Review for operational value and if no longer required transfer to Special Collections for review of the historical value		Limitations Act 1980	Sep-14	Paper and electronic	Special Collections Googlemail Shared drive	Restricted
1.8.4	European Structural Funds project documentation		Academic Development: widening and Participation	Ten years from the termination of the project	Destroy at end of retention period	The project is terminated in October 2012. The documentation is retained for 10 years from November 2012 and then destroyed after November 2022	European Structural Fund guidance	Jul-14	Paper	Off-site	Restricted
1.8.5	Proposals and Programme definitions for Portfolio Office programmes	Enhancing staff services programme definition, enhancing student services programme definition	Governance and Compliance: Portfolio Management Office	Five years from the termination of the programme	Review file to decide if it should be destroyed, given a new review date or retained permanently	A programme is terminated in July 2013. The programme definition is retained for 5 years from August 2013 and then reviewed in August 2018	Operational need	Jul-14	Electronic	SharePoint	Restricted

#### 1.9 Equality and Diversity Management

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
1.9.1	Equality and Diversity Strategy		Governance and Compliance	Five years from when superseded	Destroy at end of retention period	The strategy is superseded in January 2000. The superseded version is retained for 5 years from February 2000 and then destroyed in February 2005	Jisc	Oct-14	Electronic	SOAS website	Unrestricted

1.9.2	Equality and Diversity Policies	Race Equality Policy	Governance and Compliance	Five years from when superseded	Destroy at end of retention period	The policy is superseded in January 2000. The superseded version is retained for 5 years from February 2000 and then destroyed in February 2005	Jisc	Oct-14	Electronic	SOAS website	Unrestricted
1.9.3	Equality and Diversity procedures and guidelines		Governance and Compliance	Three years from when superseded	Destroy at end of retention period	The procedure is superseded in May 2001. The superseded version is retained for 3 years from June 2001 and then destroyed in June 2004	Jisc	Oct-14	Electronic	SOAS website	Unrestricted

**1.10 Health and Safety Management**

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
1.10.1	Health and Safety Policy, procedures and guidelines		Human Resources: Staff Development	Fifty years from the date when superseded	Destroy at end of retention period	The Policy is superseded in January 2000. The old version is retained for 50 years from February 2000 and is destroyed in February 2050	Regulation 5(2) of the Management of Health and Safety at Work Regulations 1999 (SI 1999/3242)	Mar-14	Electronic	Shared drive SOAS website	Unrestricted
1.10.2	COSHH assessments		Facilities	Forty years from the end of the current year	Destroy at end of retention period	The assessment is carried out in March 2000. The records are retained for 40 years from December 2000 and then destroyed in January 2041	Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677)	Nov-14	Paper	Onsite	Restricted
1.10.3	Health and safety inspections of SOAS land, buildings, facilities or operations	Includes actions taken	Estates and Facilities: Energy	Five years from current year or one year from when superseded, whichever is longer	Destroy at end of period	The inspection relates to July 2000. The inspection is superseded in July 2001. The superseded inspection is retained until July 2005 and then destroyed after August 2005	Jisc	Aug-14	Paper	Onsite	Restricted

1.10.4	Fire safety risk assessments	Records of the conduct, review and revision of fire safety risk assessments	Estates and Facilities	Ten years from when superseded	Destroy at end of period	The assessment is superseded in June 2000. The superseded assessment is retained for 10 years from July 2000 and then destroyed in July 2010	Regulatory Reform (Fire Safety) Order 2006 SI 1997/1840 Regulation 6 Limitations Act 1980	Nov-14	Paper	Onsite	Restricted
1.10.5	Asbestos assessments		Estates and Facilities	Ten years from the review of the assessment	Destroy at end of retention period	The asbestos assessment was conducted in June 2000. The assessment records are maintained for 10 years from July 2000 and can be destroyed in July 2010	Regulation 4(3) of the Control of Asbestos Regulations 2006 (SI 2006/2739).	Nov-14	Paper	Onsite	Restricted
1.10.6	Asbestos register		Facilities	Retain permanently	N/A	N/A	Control of Asbestos at Work Regulations	Nov-14	Electronic and paper	Shared drive Onsite	Restricted
1.10.7	First Aiders list		Human Resources: Staff Development	Retain whilst current	Destroy at end of retention period	N/A	Operational need	Mar-14	Electronic	Shared drive	Internal only: SOAS Staff and Students
1.10.8	First aider training records	First aider certificates	Human Resources: Staff Development	Three years from when the certificate expires or is superseded	Destroy at end of retention period	A First Aid training certificate expires in January 2002. It is retained for 3 years from February 2002 and then destroyed in February 2005	Regulation 3 of the Health and Safety (First Aid) Regulations 1981 (SI 1981/917)	Mar-14	Paper	Onsite	Internal only: SOAS Staff and Students

## 2. Finance Records

### 2.1 Procurement

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
2.1.1	Procurement Policies, Procedures and Guidelines		Purchasing	Five years from when superseded	Destroy at end of retention period	A Procurement Policy is superseded in July 2001. The superseded policy is retained for 5 years from December 2001. The policy is destroyed in January 2007	Jisc	Nov-15	Electronic	Shared drive	Unrestricted

2.1.2	Procurement Guidelines, Polices and Procedures: Working Papers		Purchasing	One year from when published	Destroy at end of retention period	A procurement policy is issued on 10 October 2007. The working papers for the policy will be kept for 1 year from December 2007 and then destroyed in January 2009	Operational need	Nov-15	Paper and electronic	Shared drive Onsite	Restricted
2.1.3	Contracts and agreements	Invitation to Tender, Response to Tender, Terms and Conditions and pre-qualification questionnaire of the successful supplier , international recruitment agency contracts, Jstor, publisher, advertising exchange, contract for external training providers	All departments	Six years from end of contract	Destroy at end of retention period	The contract ends on 22 December 2011 . The contract and supporting documentation is retained for 6 years from December 2011 and then destroyed in January 2018	Limitations Act 1980	Jan-14	Paper and electronic	Shared Drive Off-site Onsite SharePoint	Restricted
2.1.4	Contract monitoring and management records and working documentation	Correspondence with suppliers, monitoring supplier performance, handling complaints/disputes with suppliers; managing the transition of work to/from suppliers, where suppliers change, commission records from international recruitment agencies, account manager meeting minutes and papers	All departments	Six years from end of the calendar year in which the contract ends	Destroy at end of retention period	A company is awarded a contract ending in 2009. Records relating to the management and monitoring of the contract would be retained for six years from 1 January 2010, and destroyed in January 2016	Limitations Act 1980/ Jisc	Jan-14	Paper and electronic	Shared Drive On-site Googlemail	Restricted

2.1.5	Contracts Register		Purchasing	Retain permanently	N/A	N/A	Operational need	Jan-14	Electronic	Shared Drive	Unrestricted
2.1.6	Tender documentation: unsuccessful tenders	Response to Tender, notification of unsuccessful tender	Purchasing	One year from the award of contract	Destroy at end of retention period	A company tenders unsuccessfully for a contract which is awarded in 2007. The company's pre-tender questionnaire, tender and other documentation relating to the decision not to award the contract would be retained for six years from 1 January 2008, and destroyed in January 2014	Jisc	Jan-14	Paper and electronic	Shared Drive Off-site Onsite	Restricted
2.1.7	Delivery notes	Confirmation of delivery of office supplies	All departments	Two years from delivery date	Destroy at the end of the retention period	A delivery note is received in June 2011. It will need to be retained for 2 years from July 2011 and then can be destroyed from August 2013	Jisc	Jul-14	Paper and electronic	On-site Googlemail	Restricted

## 2.2 Financial Management

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
2.2.1	Finance Strategy, Policy and Procedures		Finance	Ten years from the end of the calendar year when superseded	Destroy at the end of the retention period	The procedure is superseded in March 2000. The old version is retained for 10 years from December 2000 and then destroyed in January 2011	Jisc	Nov-15	Electronic	Shared drive	Unrestricted



2.2.2	Finance Strategy, Policy and Procedures: working papers		Finance	One year from the end of the calendar year in which the policy/procedure is issued	Destroy at end of retention period	A Finance strategy is issued on 10 October 2007. The working papers for the strategy will be kept for 1 year from December 2007 and then destroyed in January 2009	Operational need	Nov-15	Paper and electronic	Shared drive Onsite	Restricted
2.2.3	Annual Accounts (Signed originals)		Finance, Governance and Compliance	Retained Permanently	N/A	N/A	Jisc/historical interest	Nov-15	Paper and electronic	On-site	Unrestricted
2.2.4	Journals, Year End Journals, Recharges		Finance: Management Accounts	Six years from end of the financial year in which generated	Destroy at the end of the retention period	The journals for the 2001/2002 financial year are kept for 6 years from 1 August 2002. The journals are then destroyed on 1 August 2008	Jisc	Jan-14	Paper and electronic	Off-site Agresso**	Restricted
2.2.5	Budget Adjustments		Finance: Management Accounts	Six years from end of the financial year in which generated	Destroy at the end of the retention period	The budget adjustments are generated in the 2000/2001 financial year. The budget adjustments are kept for 6 years from 1 August 2001 and then destroyed on 1 August 2007	Operational need	Jan-14	Paper and electronic	Off-site Agresso*	Restricted
2.2.6	Budget: Supporting Documentation	Preparation of annual budgets	Finance: Management Accounts	One year from the end of the financial year in which the budget report is generated	Destroy at the end of the retention period	The budget report is generated in the 2008/2009 financial year. The supporting documentation is retained for 1 year from 1 August 2009 and then destroyed on 1 August 2010	Jisc	Jan-14	Paper and electronic	On-site Shared drive Googlemail	Restricted

2.2.7	Budget Reports		Finance: Management Accounts	One year from the end of the financial year in which generated	Destroy at the end of the retention period	The budget report is generated in the 2002/2003 financial year. The report is retained for 1 year from 1 August 2003 and then destroyed on 1 August 2004	Jisc	Jan-14	Electronic	Shared drive Agresso	Restricted
2.2.8	Departmental and Academic Expenditure Schedules		All departments	One year from the end of the financial year	Destroy at the end of the retention period	The schedule relates to the 2000-2001 financial year. The schedule is retained for 1 year from July 2001 and then destroyed after August 2002	Jisc	Aug-15	Electronic and paper	Shared drive Onsite Googlemail	Restricted
2.2.9	Value of the institutions capital assets documentation		Finance	Six years from the end of the current financial year	Destroy at the end of the retention period	The file relates to 2009/2010 financial year. The file is retained for 6 years from August 2010 and then disposed of in August 2016	Jisc	Jan-14	Paper	Off-site	Restricted
2.2.10	Decisions (and authorisations) to dispose of capital assets	Decisions to dispose of property	Finance	Six years from the end of the financial year of disposal	Destroy at the end of the retention period	Disposal of the capital asset occurs in February 2000. The file is retained for 6 years from August 2000 and then disposed of in August 2006	Jisc	Jan-14	Paper	Off-site	Restricted
2.2.11	Financial Forecasting	Financial plans, setting budgets	Finance: Management Accounts	One year from the end of the financial year in which generated	Destroy at the end of the retention period	The financial forecasting is generated in the 2004/2005 financial year. The forecasting is retained for 1 year from 1 August 2005 and then destroyed on 1 August 2006	Operational need	Jan-14	Paper and electronic	Onsite Shared drive	Restricted

2.2.12	Statutory funding body funding allocations (annual)	e.g. HEFCE Core Grant	Finance	10 years from the end of the current financial year	Destroy at the end of the retention period	The Core Grant relates to the 2009/2010 financial year. The file is retained for 10 years from August 2010 and then destroyed in August 2020	Jisc	Jan-14	Paper and electronic	Off-site	Restricted
2.2.13	Debt Collection Files		Finance : Accounts Payable, Accounts Receivable and Cashier	Six years from the end of the financial year that the last payment was made to the account	Destroy at end of retention period	A student has an outstanding debt in 2006. They finish paying the debt in February 2010. The debt collection file would be retained from the August 2010, and destroyed August 2016	Limitations Act 1980	Dec-13	Paper	Onsite	Restricted
2.2.14	Financial transactional records (routine)	Invoices, Receipts, Purchase orders, Claim forms, Ledger printouts, Bank statements, Petty cash books, Credit notes, BACS Reports, Journal Vouchers, Payment Advices, Cheque books, Paying in slips	Finance	Six years from the end of the financial year in which generated	Destroy at end of retention period	A lever arch file of invoices from the 2000/01 financial year would be retained for six years from 31 July 2001, and destroyed on or shortly after 1 August 2007	1970 c. 9 s 34 1980 c. 58 s 5 1994 c. 23 HMRC 700/21 para. 5.2	Mar-14	Paper and electronic	Off-site Agresso* Shared drive Filemaker	Restricted
2.2.15	Invoices (copies)		All departments	Until no longer operationally required	Destroy at end of retention period	N/A	Finance retain original	Aug-15	Paper and electronic	Onsite Googlemail Shared drive	Restricted

2.2.16	Cross-charges, internal invoices	recharges and internal requisitions	All departments	One year from the end of the current financial year	Destroy at end of retention period	The records relate to June 2001. They are retained for 1 year from July 2001 and then destroyed in August 2002	Jisc	Mar-14	Paper and electronic	Onsite Shared drive	Restricted
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### 2.3 Insurance

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
2.3.1	Insurance Policies		Finance: Adminstration	Seven years from expiry of insurance	Destroy at end of retention period	Insurance expires on 13 January 2001. The insurance policy is kept for 7 years from 14 January 2001 and then destroyed on 14 January 2008	Jisc	Jan-14	Paper	Off-site Onsite	Restricted
2.3.2	Insurance Claims		Finance: Adminstration	Six years from settlement of claim	Destroy at end of retention period	An insurance claim is settled on 04 February 2002. The insurance claim documents are retained for 6 years from 05 February 2002 and then destroyed on 05 February 2008	Jisc	Jan-14	Paper and electronic	Off-site	Restricted
2.3.3	Insurance claim	Insurance Reports	Finance: Adminstration	Six years from settlement of claim	Destroy at end of retention period	An insurance claim is settled on 05 March 2001. The insurance reports are retained for 6 years from 06 March 2001 and then destroyed on 06 March 2007	Limitations Act 1980	Nov-15	Paper and electronic	Off-site	Restricted

2.3.4	Certificate of employers liability insurance		Governance and Compliance	Forty years from expiry of insurance	Destroy at end of retention period	The certificate of employers liability insurance expires on 11 June 2000. The certificate is retained for 40 years from 12 June 2000 and destroyed on 12 June 2040	SI 1998/2573 Regulation 4(4)	Nov-15	Paper and electronic	On-site	Restricted
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#### 2.4 Payroll

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
2.4.1	Ex-staff records: payroll files		Human Resources: Payroll, Registry: PGR (Examiner payroll)	Six years from end of the tax year in which the staff member left employment	Destroy at end of retention period	The payroll file of a staff member who left in the 2003/04 tax year would be retained for six years from 1 May 2004, and destroyed in May 2010.	SI 1999/584 Regulation 38(7) SI 2003/2682 Regulation 97(8) Recommended: 1970 c. 9 s 34, Limitations Act 1980	Jan-14	Paper	Off-site	Restricted
2.4.2	Tax Records: payroll files		Human Resources: Payroll	Six years from the end of the tax year to which it relates	Destroy at end of retention period	The tax file of a staff member from the 2002/2003 tax year would be retained for 6 years from 1 May 2003, and destroyed in May 2009	SI 2003/2682 Regulation 97(8)	Jan-14	Paper	Off-site	Restricted
2.4.3	Statutory Sick Pay Scheme payment		Human Resources: Payroll	Three years from the end of the tax year in which generated	Destroy at end of retention period	The records of administering Statutory Sick Pay to a staff member from the 2001/2002 tax year would be retained for 3 years from 1 May 2002, and destroyed in May 2005	SI 1982/894 Regulation 13	Jan-14	Paper	Off-site	Restricted

2.4.4	Statutory Maternity Pay records		Human Resources: Payroll	Three years from the end of the tax year in which generated	Destroy at end of retention period	The records documenting entitlements to, and calculations of, Statutory Maternity Pay of a staff member from the 2000/2001 tax year would be retained for 3 years from 1 May 2001, and destroyed in May 2004	The Statutory Maternity Pay (General) Regulations 1986	Jan-14	Paper	Off-site	Restricted
2.4.5	Payroll related: hard copy financial records	Payroll summaries, analyses, reports, tax returns, (exc. Pensions)	Human Resources: Payroll, Registry: PGR (examiner payroll)	Six years from end of the tax year in which generated	Destroy at end of retention period	A lever arch file summarising payroll runs in the 2004/05 tax year would be retained for six years from 1 May 2005, and destroyed in May 2011	Limitations Act 1980	Jan-14	Paper	Off-site	Restricted
2.4.6	Salary records	Overtime and expenses, including for one to one tuition	Human Resources: Payroll Language Centre	Six years from end of the tax year in which generated	Destroy at end of retention period	A staff member receives overtime in June 2009. The salary records are retained for six years from 1 May 2010 and then destroyed in May 2016	Jisc	Jan-14	Paper Resource link	Off-site	Restricted
2.4.7	Notifying staff of their employment related tax liabilities	P11d	Human Resources: Payroll	Six years from the end of the tax year in which generated	Destroy at end of retention period	The P11d of a staff member from the 2000/2001 tax year would be retained for 6 years from 1 May 2001, and destroyed in May 2007	Limitations Act 1980	Jan-14	Paper	Off-site	Restricted
2.4.8	Non-statutory deductions from salaries processing	e.g. deduction authorities, tax code notices	Human Resources: Payroll	Six years from the end of the tax year in which generated	Destroy at end of retention period	The documents processing non-statutory deductions from salaries from the 2004/2005 tax year would be retained for 6 years from 1 May 2005, and destroyed in May 2011	Limitations Act 1980	Jan-14	Electronic	ResourceLink*	Restricted

## 2.5 Pension

	<i>Record category</i>	<i>Examples of record category</i>	<i>Department</i>	<i>Retention period</i>	<i>Disposal action</i>	<i>Example</i>	<i>Authority</i>	<i>Added/ Amended</i>	<i>Format</i>	<i>Storage</i>	<i>Level of Restriction</i>
2.5.1	Pension related: hard-copy financial records	Annual and monthly pension contribution schedules, lists of joiners and leavers, reports on pension contributions	Human Resources: Payroll	75 years from end of the tax year in which generated	Destroy at end of retention period	A printout summarising pension scheme contributions for individual employees in the 2004/05 tax year would be retained for 75 years from 1 May 2005, and destroyed in May 2080	Limitations Act 1980	Jan-14	Paper	Off-site	Restricted
2.5.2	Ex-staff records: pension files		Human Resources: Payroll	75 years from end of the tax year in which the staff member left employment	Destroy at end of retention period	The pension file of a staff member who left in the 2004/05 tax year would be retained for 75 years from 1 May 2005, and destroyed in May 2080	Limitations Act 1980	Jan-14	Paper	Off-site	Restricted

#### 2.6 Asset Management

	<i>Record category</i>	<i>Examples of record category</i>	<i>Department</i>	<i>Retention period</i>	<i>Disposal action</i>	<i>Example</i>	<i>Authority</i>	<i>Added/ Amended</i>	<i>Format</i>	<i>Storage</i>	<i>Level of Restriction</i>
2.6.1	Asset Registers for fixed assets	Asset Register for ICT Equipment and software	IS	Retain Permanently	N/A	N/A	1970 c. 9 s 34 (requires at least 6 years from current financial year)/ operational need	Apr-15	Electronic	Shared drive	Internal: Staff Only
2.6.2	Authorisation of disposal of fixed assets	Certificate of Removal/return of ICT software/hardware, to and from SOAS and wiping of equipment	IS	Six years from return/removal/wiping of equipment	Destroy at end of retention period	The asset is disposed of in June 2009. The authorisation is retained for 6 years from July 2009 and then destroyed in July 2015	1970 c. 9 s 34 1980 c.	Apr-15	Paper and electronic	Shared drive Onsite	Internal: Staff Only

### 3. Estates

#### 3.1 Estates Management

	<i>Record category</i>	<i>Examples of record category</i>	<i>Department</i>	<i>Retention period</i>	<i>Disposal action</i>	<i>Example</i>	<i>Authority</i>	<i>Added/ Amended</i>	<i>Format</i>	<i>Storage</i>	<i>Level of Restriction</i>
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3.1.1	Estates and facilities strategy		Estates and facilities	Ten years from when superseded	Destroy at end of retention	The strategy is superseded in January 2000. The superseded version is retained for 10 years from February 2000 and then destroyed in February 2010	Jisc	Nov-14	Paper	Onsite	Restricted
3.1.2	Estates and facilities strategy: working papers		Estates and facilities	One year from issue of strategy	Destroy at end of retention period	The strategy is issued in January 2000. The working papers are retained for 1 year from February 2000 and destroyed in February 2001	Jisc	Nov-14	Paper	Onsite	Restricted
3.1.3	Deed of Appointment for contractors	Letter of appointment	Estates and Facilities, Governance and Compliance	Fifteen years from completion of project	Destroy at end of the retention period	A contractor is hired for a project which is completed on 20 June 1995. The Deed of Appointment would be retained for 15 years from the 21 June 1995 and then destroyed in July 2010	Limitations Act 1980	Dec-13	Paper	Off site	Restricted
3.1.4	Building and utilities plans	Plans of gas pipes, plans of toilet blocks, floor plans	Estates and Facilities	Retain until disposal of property	Transfer to Special Collections if not transferred to new owners	N/A	Historical value/ Jisc	Aug-14	Paper and electronic	Shared drive Onsite University of London	Restricted

### 3.2 Property Maintenance

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
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3.2.1	Major property maintenance works, including refurbishments	Conducting general inspections, establishing and implementing planned maintenance programmes, carrying out reactive maintenance to property, conducting inspections to determine the presence and condition of hazardous materials (e.g. asbestos), carrying out decontamination works.	Estates and Facilities	Retain until disposal of the property	On disposal of the property, some records may be transferred to the new owners or can be destroyed. Major building work drawings need to be transferred to Special Collections if they have not been already for permanent preservation	Major property maintenance works are completed on 27 September 2005. The property is then sold on 02 February 2012. Some records, such as existing guarantees, may still be required by the new owners and would be transferred to the new owner on request. If not, building work plans and drawings would be removed from the file and sent to Special Collections and the rest of the file is destroyed	Jisc	Dec-13	Paper and electronic	Onsite Off-site Shared drive	Restricted
3.2.2	Minor property maintenance works, including refurbishments	Conducting general inspections, establishing and implementing planned maintenance programmes, carrying out reactive maintenance to property, conducting inspections to determine the presence and condition of hazardous materials (e.g. asbestos), carrying out decontamination works.	Estates and Facilities	Fifteen years from completion of works	Review file. If the file contains a guarantee which is still valid, then the file should be retained until it expires and then destroyed. If all guarantees are expired, the file can be destroyed	Minor property maintenance works are completed on the 5 May 1998. The file would be retained for 15 years from 6 May 1998 and reviewed in June 2013. The file contains a guarantee of 25 years from 5 May 1998. The review date is extended until 6 May 2023 and then the file is destroyed	Limitations Act 1980	Dec-13	Paper and electronic	Onsite Off-site Shared drive	Restricted

### 3.3 Property Development

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
3.3.1	Development of property records	Undertaking feasibility studies; conducting	Estates and facilities, Library	Retain until disposal of property	Transferred as part of sale or transfer to Special Collections	N/A	Historical value/ Jisc	Aug-14	Paper	Off-site Onsite	Restricted

3.3.2	Health and Safety File for a structure		Library, Estates and Facilities, Governance and Compliance	Demolition of property or disposal of interest therein	Destroy at end of retention period	A property is sold in October 2001. The Health and Safety file for the structure is retained until October 2001 and then destroyed in November 2001	14(d) of the Construction (Design and Management) Regulations 1994 (SI 1994/3140)	Nov-14	Paper	Onsite Off-site	Restricted
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#### 3.4 Property Acquisition and Disposal

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
3.4.1	Acquisition and disposal of properties by sale,	Contracts executed as deeds, supporting	Estates and Facilities, Governance and	Twelve years from the disposal of the property	Transfer to Special Collections	A property is disposed of in January 2009. The	Limitations Act 1980	Jan-14	Paper	Off-site	Restricted
3.4.2	Leases and supporting documentation	Negotiation of leases and original lease agreements of property	Estates management	Fifteen years from expiry of lease	Destroy at end of retention period	A lease expires on 02 January 2013. The records documenting the negotiation of the lease are kept for 15 years from 03 January 2013 and destroyed on 03 January 2028	Limitations Act 1980	Mar-14	Paper	Onsite	Restricted

#### 3.5 Lettings

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
3.5.1	Lettings management	SOAS student accommodation, e.g. tenancy agreements and terminations, applications, inventories, transfer forms etc.	Registry and Student Services	Six years from the end of the calendar year in which the student left accommodation	Destroy at end of retention period	A student leaves the accommodation in July 2005. The file is then retained for 6 years from December 2005, and then destroyed in January 2012	Limitations Act 1980	Mar-14	Paper	Off-site	Restricted

#### 3.6 Space Management

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
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3.6.1	Space/room audits		Estates and Facilities: timetable	Five years from completion of subsequent audit	Destroy at end of retention period	An audit is completed in December 1996. The next audit is completed in December 1998. The superseded audit records are retained for 5 years from January 1999 and destroyed in January 2004	Jisc	Nov-14	Paper and electronic	Onsite Shared drive	Restricted
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#### 4. Facilities

##### 4.1 Facilities Management

	<i>Record category</i>	<i>Examples of record category</i>	<i>Department</i>	<i>Retention period</i>	<i>Disposal action</i>	<i>Example</i>	<i>Authority</i>	<i>Added/ Amended</i>	<i>Format</i>	<i>Storage</i>	<i>Level of Restriction</i>
4.1.1	ID Card Registration		Library	Five years from the date in which the relationship with the client ends	Destroy at end of retention period	A student leaves in July 2002. The ID registration is retained for 5 years from August 2002 and then destroyed in August 2008	Operational Need	Sep-14	Electronic	Shared drive	Restricted
4.1.2	Key List		Facilities	Retain whilst current	Destroy at end of retention period	N/A	Operational need	Nov-14	Onsite	Paper	Restricted

##### 4.2 Facilities Maintenance

	<i>Record category</i>	<i>Examples of record category</i>	<i>Department</i>	<i>Retention period</i>	<i>Disposal action</i>	<i>Example</i>	<i>Authority</i>	<i>Added/ Amended</i>	<i>Format</i>	<i>Storage</i>	<i>Level of Restriction</i>
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4.2.1	Major maintenance works within facilities	Conducting inspections, establishing and implementing planned maintenance programmes, carrying out reactive maintenance	Estates and Facilities, Governance and Compliance	Fifteen years from completion of works	Review file. If the file contains a guarantee which is still valid, then the file should be retained until it expires and then destroyed. If all guarantees are expired, the file can be destroyed	Major facility maintenance works are completed on the 5 May 1998. The building contract would be retained for 15 years from 6 May 1998 and reviewed in June 2013. The file contains a guarantee of 20 years from 5 May 1998. The review date is extended until 6 May 2018 and then the file is destroyed	Limitations Act 1980	Dec-13	Paper	Off site Onsite	Restricted
4.2.2	Minor maintenance works within facilities	Conducting inspections, establishing and implementing planned maintenance programmes, carrying out reactive maintenance	Estates and Facilities, Governance and Compliance	Five years from completion of works	Review file. If the file contains a guarantee which is still valid, then the file should be retained until it expires and then destroyed. If all guarantees are expired, the file can be destroyed	Minor facility maintenance works are completed on the 8 February 2008. The file would be retained for 5 years from 9 February 2008 and reviewed in March 2013. The file contains a guarantee of 15 years from 8 February 2008. The review date is extended until 9 February 2023 and then the file is destroyed	Limitations Act 1980	Dec-13	Paper	Off site Onsite	Restricted
4.2.3	Facilities job request log		Facilities	Five years from completion of works	Destroy at end of retention period	A job request is submitted in June 2000. The works are completed in July 2001. The job request ticket is retained for 5 years from July 2001 and then destroyed in August 2006	Jisc	Nov-14	Electronic	Supportworks	Restricted

#### 4.3 Facilities Development

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
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4.3.1	Room layout re-arrangement		Facilities	One year from the date of the re-arrangement	Review and weed file, retain anything of operational use	Room is re-arranged in July 2000. The records are retained for one year from August 2000. In August 2001 the file is reviewed and weeded with anything of operational use retained	Operational Need	Nov-14	Paper	Onsite	Restricted
4.3.2	Interior design and fit out schemes and works records		Library	Fifteen years from completion of works	Destroy at end of retention period	An interior design refurbishment is completed in January 2001. The records are retained for 15 years from February 2001 and then destroyed in February 2016	Limitations Act 1980	Sep-14	Paper and electronic	Onsite Shared drive	Restricted

#### 4.4 Security Management

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
4.4.1	Routine inspections of facilities		Facilities	Completion of 2 subsequent inspections	Destroy at end of retention period	An inspection is completed in July 2000. Two further inspections are carried out in August and September 2000. The records of the inspection from July 2000 are retained until September 2000 and then can be destroyed in October 2000	Jisc	Nov-14	Paper	Onsite	Restricted
4.4.2	Security incidents and action taken		Library	One year from the date of the incident	Destroy at end of retention period	There is a security breach in July 2000. The records are retained for 1 year from August 2000 and then destroyed in August 2001	Jisc	Sep-14	Electronic	Googlemail	Restricted

4.4.3	Security bookings		Facilities	One year from end of the current year	Destroy at end of retention period	A booking is taken in July 2000. The records are retained for 1 year from December 2000 and can be destroyed in January 2002	Operational need	Nov-14	Paper	Onsite	Restricted
4.4.4	Records monitoring routine access of IT systems		IS	One year from the end of the current year	Destroy at end of retention period	The records monitoring routine access from January to December 2010 will be retained for one year from January 2011 and then can be destroyed after January 2012	Jisc	Aug-15	Electronic	School server	Restricted
4.4.5	Security surveillance records including CCTV footage		IS	Fifteen days from date of record	If there is a request for footage, the footage is removed and retained until no longer required. Otherwise, footage is destroyed	CCTV footage relates to the 1 August 2010. The footage is retained for 15 days from 1 August and then is destroyed on 16 August 2010	SOAS Policy	Aug-15	Electronic	School network servers	Restricted

#### 4.5 Facilities Services

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
4.5.1	Catering Orders		All departments	One year from the end of the calendar year to which it relates	Destroy at end of retention period	The catering order is from July 2002. It is retained for one year from January 2003 and then destroyed after January 2004	Jisc	Aug-15	Paper and electronic	Googlemail Onsite	Restricted
4.5.2	Cleaning bookings		Facilities	One year from end of current year	Destroy at end of retention period	A booking is taken in May 2005. The records are retained for one year from December 2005 and then destroyed in January 2007	Operational need	Nov-14	Paper	Onsite	Restricted

## 5. Environmental Management

### 5.1 Environment Management

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
5.1.1	Reviews of energy consumption and action taken	Energy Management database and Carbon Management Plan, Energy Certificates and supporting documentation	Estates and Facilities: Energy	Five years from end of calendar year to which it relates	Send to Special Collections for historical review	The carbon management plan relates to 2011-2012. The plan is retained for 5 years from December 2012 and then sent to the Special Collections after January 2018	Jisc	Aug-14	Electronic	Shared drive	
5.1.2	CRC Energy Efficiency Scheme evidence packs		Estates and Facilities: Energy	Six years from the end of the calendar year of the relevant compliance year	Destroy at end of retention period	The evidence pack relates to 2012 compliance year. The pack is retained for 6 years from December 2012 and then destroyed after January 2019	<a href="#">CRC Energy efficiency scheme guidance for participants</a> : <a href="#">CRC guidance for participants</a>	Aug-14	Paper	Onsite	Unrestricted
5.1.3	Confidential waste certificates		Estates and Facilities	Three years from the removal of waste	Destroy at end of the retention period	The waste is removed in December 2001. The certificate is retained for 3 years from January 2002 and then destroyed in January 2005	Jisc	Nov-14	Paper	Onsite	Internal: staff only
5.1.4	Disposal of hazardous waste records		Library, Estates and Facilities	Three years from removal of the waste	Destroy at end of retention period	Hazardous waste is disposed of in March 2004. The records are retained for 3 years from April 2004 and then destroyed in April 2007	Jisc	Sep-14	Paper	Onsite	Internal only: Staff

## 6. Equipment and Consumables Management

### 6.1 Equipment and Consumables Management

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
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6.1.1	Equipment inspection, testing and maintenance of equipment: major items (see examples for exclusions)	Excludes equipment that is safety critical, associated with hazardous operations, provided to control exposure to hazardous substances, control exposure to asbestos, lead or ionising radiation or lifting equipment	Estates and Facilities	Six years from the decommissioning or removal of the equipment	Destroy at end of retention period	The equipment is decommissioned in January 1999. The records are retained for 6 years from January 1999 and will be destroyed after February 2005	Limitations Act 1980	Aug-14	Paper	Off-site	Restricted
6.1.2	Equipment inspection, testing and maintenance (safety critical or associated with hazardous operations)	fire equipment and fire detection	Estates and facilities	Fifteen years from the disposal or decommissioning of the equipment	Destroy at end of retention period	The equipment is disposed of in January 1998. The records are retained for 15 years from February 1998 and destroyed in February 2013	Limitation Act 1980/ Jisc	Nov-14	Paper	Off-site	Restricted
6.1.3	Equipment usage logs and routine stock takes		Print room	One year from the end of the current year	Destroy at end of retention period	The logs relate to 2013. The logs are retained for one year from December 2013 and can be destroyed in January 2015	Jisc	Mar-15	Electronic	Shared drive	Internal: Staff Only

## 7. Human Resources and Staff Development

### 7.1 Human Resources Planning and Development

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
7.1.1	Human Resources Strategy, Policy and Procedures		Human Resources: Core HR, Human Resources: Staff Development	Ten years from the end of the calendar year when superseded	Destroy at the end of the retention period	The procedure is superseded in March 2000. The old version is retained for 10 years from December 2000 and then destroyed in January 2011	Jisc	Jan-14	Electronic	Shared drive	Unrestricted



7.1.2	Human Resources Strategy, Policy and Procedures: working papers		Human Resources: Core HR, Human Resources: Staff Development	One year from the end of the calendar year in which the policy/procedure is issued	Destroy at end of retention period	A HR strategy is issued on 10 October 2007. The working papers for the strategy will be kept for 1 year from December 2007 and then destroyed in January 2009	Jisc	Jan-14	Paper and electronic	Shared drive Onsite	Restricted
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#### 7.2 Recruitment

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
7.2.1	Recruitment records	e.g. Job Advert, Job Description and Job Specification, authorisation for recruitment, interview notes, shortlisting notes, test results	Human Resources: Core HR, All departments	One year from the date that the vacancy is filled	Destroy at end of retention period	A vacancy is advertised in January 2000 and filled in March 2000. The job advert is retained for 1 year from April 2000 and then destroyed in April 2001	Jisc	Jul-14	Electronic and paper	Igrasp Web Recruitment System Shared drive Onsite	Restricted/ Unrestricted
7.2.2	Job applications: applications, recruitment and selection records (unsuccessful) (other than data in ResourceLink**)	Includes unsuccessful applications for student ambassadors	Human Resources: Core HR, Academic Development: widening and Participation	Twelve months from end of the month in which recruitment process completed	Destroy at end of retention period	The paper records relating to unsuccessful applications for a post whose recruitment process finished in July 2009 would be destroyed in February 2010	1975 c. 65 1976 c. 74 1995 c. 50 SI 2006/1031 Regulations 7, 36 and 42 SI 2003/1660 Regulations 6, 28 and 34 SI 2003/1661 Regulations 6, 28 and 34	Jul-14	Electronic and paper	Shared drive Onsite	Restricted
7.2.3	Job applications: ResourceLink** data (unsuccessful)		Human Resources: Core HR	Twelve months from end of the month in which recruitment process completed	Destroy at end of retention period	The paper records relating to unsuccessful applications for a post whose recruitment process finished in July 2009 would be destroyed in February 2010	1975 c. 65 1976 c. 74 1995 c. 50 SI 2006/1031 Regulations 7, 36 and 42 SI 2003/1660 Regulations 6, 28 and 34 SI 2003/1661 Regulations 6, 28 and 34	Nov-15	Electronic	ResourceLink**	Restricted
7.2.4	Reports of new starters from cognos (data from resource link)		Human Resources: Staff Development	One year from the date of the report	Destroy at end of the retention period	The report is dated May 2001. The report is maintained for 1 year from June 2001 and then destroyed in June 2002	Operational Need	Mar-14	Electronic	Shared drive	Restricted

7.2.5	Internal authorisation for recruitment	e.g. authorisation of contract	All departments	One year from the end of the current year	Destroy at end of retention period	The authorisation takes place in June 2012. The record is retained for 1 year from December 2011 and is destroyed in January 2013	Jisc	Aug-15	Electronic	SharePoint	Restricted
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### 7.3 Personnel File Management

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
7.3.1	Ex-staff personnel files	Also includes student ambassador files and fractional staff files. For the following see separate record category: Online distance learning tutor contracts, Ex-staff records: occupational health records, Ex-staff records: compromise agreements and agreed forms of reference, Ex-staff records: data on former staff in ResourceLink** and Records of disciplinary and grievance proceedings involving staff	Human Resources: Core HR, Academic Development: widening and Participation	Six years from end of the calendar year in which the staff member left employment	Review by Special Collections for archival value	The file on a staff member who left in 2006 would be retained for six years from 1 January 2007, and reviewed in January 2013	Limitations Act 1980	Jul-14	Paper and electronic	Shared drive Onsite Off-site	Restricted
7.3.2	Ex-staff personnel files (departmental)	e.g. Staff review, correspondence regarding employment changes etc	All departments	Kept whilst current by line manager in departments	Once the employee has left, the file is transferred to HR	A staff member leaves and the file is transferred to HR for retention with the HR personnel file.	SOAS Procedures	Jan-14	Paper and electronic	Onsite Shared drive (restricted folder)	Restricted

7.3.3	Employee contracts	Employee contracts for online distance learning tutors, Variation of Contracts, Fractional Contracts, academic staff contracts, support services staff contracts	Human Resources: Core HR	Six years from end of the calendar year in which the staff member left employment	Destroy at the end of the retention period	The tutor leaves employment in January 2000. The contract is retained from December 2000 for six years and then destroyed from January 2007	Limitations Act 1980	Jul-14	Paper and electronic	Off-site Onsite Shared drive	Restricted
7.3.4	Student and Volunteer placements in the School	organisation of student and volunteer placements in the School	Special Collections	Three years from completion of the placement (Disabled students/volunteers: Six years from completion of placement)	Destroy at end of retention period	A student completes a placement in January 2001. The records relating to the placement are retained for 3 years from February 2001 and destroyed in February 2004	Disability Discrimination Act 1995/ operational need	Jan-15	Paper	Onsite	Restricted
7.3.5	Certified copies of passport, P45s	Employed by SOAS (not as a consultancy) e.g. for student ambassadors, guest lecturer,	Academic Development: Learning and Development, Human Resources: Core HR, Marketing Arts and Humanities Faculty	Six years from end of the calendar year in which the staff member left employment	Destroy at end of retention period	The P45 of a staff member who left in 2006 would be retained for six years from 1 January 2007, and destroyed in January 2013	Jisc	Jul-14	Paper and electronic	Shared drive Onsite	Restricted
7.3.6	Ex-staff records: occupational health records	Workplace injuries, work-related diseases, exposure to hazardous substances	Human Resources: Core HR	40 years from end of the calendar year in which the staff member left employment	Destroy at end of retention period	Occupational health records of a staff member who left in 2005 would be retained for 40 years from 1 January 2006, and destroyed in January 2046	Jisc	Aug-14	Paper and electronic	Shared Drive DocLink Off-site	Restricted
7.3.7	Ex-staff records: compromise agreements and agreed forms of reference		Human Resources: Core HR	40 years from end of the calendar year in which the staff member left employment	Destroy at end of retention period	An agreed form of reference for a staff member who left in 2008 would be retained for 40 years from 1 January 2009, and destroyed in January 2049	Jisc	Aug-14	Paper	Shared Drive DocLink Off-site	Restricted
7.3.8	Ex-staff records: data on former staff in ResourceLink**	Record of training and courses, P45s, certified copies of passports, contract information etc.	Human Resources	Retain permanently	N/A	N/A	Historical value	Aug-14	Electronic	ResourceLink**	Restricted

7.3.9	Timesheets	Includes timesheets of those who have agreed to work more than 48 hours a week and documents authorising hours worked by fractional staff	Academic Development: Learning and Development, Marketing, faculty offices, payroll, HR	Two years from the date of the record	Destroy at end of retention period	The time sheet relates to 15-21 September 2011. The timesheet is retained for 2 years from 22 September and will be destroyed on 22 September 2013	SI 1998/1833 Regulations 5 and 9 (The working time regulations 1998)	Aug-15	Electronic and paper	Shared drive onsite Googlemail ResourceLink	Restricted
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#### 7.4 Personnel Absence Records

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
7.4.1	Sickness absence records		Human Resources: Payroll	Forty Years from end of the tax year in which the staff member left employment	Destroy at end of retention period	The records of an employee sickness absence from the 2000/2001 tax year would be retained for 40 years from 1 May 2001, and destroyed in May 2041	IR CA30	Jan-14	Paper	Off-site Shared drive	Restricted
7.4.2	Medical certificates/self-certificates/ fit to work notices		Human Resources: Payroll	Retain during employment	Destroy at end of retention period	The medical certificate of a staff member is retained until they leave on 01 February 2003 and then destroyed on 02 February 2003	Jisc	Jan-14	Paper and electronic	Off-site Shared drive	Restricted
7.4.3	Statutory leave entitlements authorisation and administration	parental leave, maternity leave	All departments	Six years from completion of entitlement	Destroy at end of retention period	Annual leave authorisation runs from 1 October 2014 until 1 October 2015. The records are retained for 6 years from 2 October 2015 and destroyed after 2 October 2021	SI 1999/3312	Jan-15	Paper and electronic	Onsite Googlemail	Restricted
7.4.4	Staff special leave records	Compassionate leave, study leave, Research leave	All departments	One year from the end of the year returned to work	Destroy at end of the retention period	A member of staff takes research leave between October 2013 and February 2014. The records documenting this leave are retained for one year from December 2014 and destroyed in January 2016	Jisc	Aug-15	Electronic and paper	Email Onsite	Restricted

7.4.5	Staff contractual holiday leave	Annual leave cards	All departments	One year from the end of the current year	Destroy at end of retention period	The annual leave card relates to the 2012-2013 leave year. The card is retained for one year from December 2013 and then destroyed in January 2015	Jisc	Apr-14	Paper	Onsite	Restricted
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#### 7.5 Personnel Grievance and Disciplinary Records

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
7.5.1	Staff disciplinary and grievance proceedings		All departments	Six years from end of the calendar year in which last action on case	Destroy at end of retention period	A file on a disciplinary case ends in 2008 with the conclusion of the staff member's appeal. The file would be retained for 6 years from 1 January 2008 and destroyed in January 2014, unless further action took place in the interim (e.g. external legal action) – in which case the retention period would be adjusted	Jisc	Mar-14	Paper and electronic	Onsite Shared drive Googlemail	Restricted
7.5.2	Grievance and Disciplinary Panel Membership list		Governance and Compliance: Secretariat	Six years from the end of the calendar year	Destroy at end of retention period	the list relates to the 2012-2013 academic year. The list is maintained for 6 years from December 2013 and then destroyed in January 2020	Limitations Act 1980	Apr-14	Electronic	Shared drive	SOAS Internal: Staff only

#### 7.6 Personnel Remuneration and Reward

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
7.6.1	Job evaluation: Pre 2008 HERA data, Academic Promotion files (unsuccessful applications)		Human Resources: Core HR	Six years from end of the calendar year in which the staff member left employment	Destroy at the end of the retention period	The promotion relates to July 2011. The file is retained for 5 years from December 2011 and then can be destroyed after from January 2017	Jisc	Aug-15	Paper and electronic	Off-site Shared drive	Restricted

7.6.2	Job evaluation: post 2008, including HERA scoring		Human Resources: Core HR	Retained as part of the personnel file and destroyed in line with this	Destroyed at the end of the retention period	N/A	Jisc	Jul-14	Paper	Onsite	Restricted
7.6.3	Academic Promotion process: Successful applications		Human Resources: Core HR	Retained as part of the personnel file and destroyed in line with this	Destroyed at the end of the retention period	N/A	Jisc	Jul-14	Paper and electronic	Onsite Shared drive	Restricted
7.6.4	Pay scales and grading schemes	Documentation of reviews and development of pay scales and grading schemes	Human Resources: Core HR	Ten years from the end of the calendar year in which the pay scale or grading scheme was superseded	Destroy at the end of the retention period	The pay scale is superseded in February 2000. The superseded pay scale is retained for 10 years from December 2000 and then destroyed from January 2011	Jisc	Jul-14	Paper and electronic	Shared drive Off-site	Unrestricted

#### 7.7 Industrial Relations

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
7.7.1	Trade union relations management	Minutes of meetings with Trade Unions and communications with trade union representatives	Governance and Compliance, Human Resources: Core HR	Twenty years from the date of the meeting	Review file to decide if it should be destroyed, given a new review date or retained permanently	The Trade Union meeting is on 04 January 2012. The minutes of the meeting are retained for 20 years from 05 January 2012. After 06 January 2032 the minutes will be reviewed and will be destroyed, given a new review date or retained permanently	Jisc Guidance	Mar-14	Electronic	Shared drive	Restricted
7.7.2	Trade Union Agreements		Governance and Compliance, Human Resources: Core HR	Twenty years from the termination of the agreement	Destroy at the end of the retention period	The agreement terminates on 02 July 1999. The agreement is retained for 10 years from 03 July 1999 and then destroyed after 03 July 2009	Jisc	Mar-14	Paper	Onsite	Restricted

7.7.3	Trade Unions: Consultations/negotiations on specific issues		Governance and Compliance, Human Resources	Twenty years from the last action on the case	Destroy at end of the retention period	The last action takes place on 04 January 2002. The records are retained for 20 years from 05 January 2002 and destroyed after 05 January 2022	Jisc	Mar-14	Paper	Off-site	Restricted
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#### 7.8 Staff Training and Development

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
7.8.1	SOAS training and development annual programme		Human Resources: Staff Development	One year from the end of the calendar year to which it relates	Destroy at end of retention period	The programme relates to 2011. The programme is retained for 1 year from December 2011 and destroyed in January 2013	Jisc	Mar-14	Electronic	SOAS website	Internal only: SOAS Staff and Students
7.8.2	Staff Training: Registration and waiting lists for internal courses		Human Resources: Staff Development	One year from the end of the calendar year to which it relates	Reviewed and any waiting lists still required retained for one calendar year	The waiting list relates to a course in July 2002. The list is retained for 1 year from December 2002 and then reviewed in January 2004	Jisc	Mar-14	Paper and electronic	Shared drive Onsite	Restricted
7.8.3	Register of attendance on non-statutory and non-regulatory training and development programmes (not on Resource Link)	Induction attendance lists	Academic Development: Learning and Development	Five years from completion of programme	Destroy at end of retention period	The training programme is completed in June 2009. The register of attendance is retained for 5 years from July 2009 and then destroyed after July 2014	Jisc	Jul-14	Electronic	Shared drive	Restricted
7.8.4	SOAS Training Course materials	Health and Safety orientation training, handouts, presentations	Human Resources: Staff Development, Academic Development: Learning and Development, Governance and Compliance: Portfolio Management Office	Five years from the end of the calendar year in which course superseded	Review file to decide if it should be destroyed, given a new review date or retained permanently	A training course presentation is superseded in January 2005. The old version is retained for 5 years from December 2005 and then reviewed in January 2011	Jisc	Mar-14	Paper and electronic	Shared drive SharePoint SOAS website	Unrestricted

7.8.5	ERASMUS documentation for Staff and Students		Human Resources: Staff Development	Six years from the end of the calendar year in which the agreement expires or six years from the end of the financial year in which generated, whichever is the latest	Destroy at end of retention period	An ERASMUS agreement expires in July 2000. The agreement is retained for 6 years from August 2000 and then destroyed in August 2006	Limitations Act 1980	Mar-14	Paper and electronic	Off-site Shared drive	Restricted
7.8.6	Orientation information pack for new staff		Human Resources: Staff Development	One year from the date superseded	One pack to be transferred to Special Collections	The pack is superseded in February 2001. The old version is retained for one year from March 2001. In March 2002, one pack is transferred to Special Collections and all other copies destroyed	Jisc	Mar-14	Paper and electronic	Shared drive Onsite	Internal: SOAS staff only
7.8.7	Staff training and development needs and action taken to meet training needs	Staff Development Reviews (SDR), Peer Observation of Teaching Record (POT) form	Human Resources: Staff Development	Five years from when action completed	Destroy at end of retention period	The SDR is signed off in April 2000. The SDR is then retained for 2 years from December 2000 and destroyed in January 2003	Jisc	Mar-14	Paper	Onsite	Restricted
7.8.8	Staff training: Job-specific employee statutory/regulatory		Human Resources: Staff Development	Six years from expiry of certificate or until superseded	Destroy at end of retention period	An employee undertakes training in July 2011. The certificate expires in July 2014. The superseded certificate is retained for 6 years from August 2014 and destroyed in August 2020	Limitations Act 1980	Jul-14	Paper	Onsite	Restricted
7.8.9	Feedback forms Internal SOAS training (anonymous)		Human Resources: Staff Development	Five years from the end of the calendar year to which it relates	Destroy at end of retention period	A training session takes place in July 2001. The feedback forms are retained for 5 years from December 2001 and destroyed in January 2007	Jisc	Mar-14	Paper	Off-site	Internal only: SOAS Staff and Students



7.8.10	Feedback forms: Internal and external training and programmes (Individual)		Academic Development: Learning and Development, Human Resources: Staff Development	Until completion of feedback forms	Destroy at end of retention period	N/A	Jisc	Jul-14	Electronic	Shared drive	Restricted
7.8.11	Register of staff development invoices and course information	Internal, external and health and safety courses	Human Resources: Staff Development	Six years from the end of the financial year in which generated	Destroy at end of retention period	The register relates to August 2001. The register will be retained for 6 years from July 2002 and then destroyed in July 2008		Mar-14	Electronic	Shared drive	Restricted
7.8.12	Internal funding requests for staff training	Application for funding for external events form	Human Resources: Staff Development	One year from the end of the financial year	Destroy at end of the retention period	The request is made in March 2014. The request is retained for 1 year from July 2014 and then destroyed in August 2015	Jisc	Mar-14	Paper and electronic	Shared drive Onsite	Restricted

## 8. External Relations and Development

### 8.1 External Relations Management

	<i>Record category</i>	<i>Examples of record category</i>	<i>Department</i>	<i>Retention period</i>	<i>Disposal action</i>	<i>Example</i>	<i>Authority</i>	<i>Added/ Amended</i>	<i>Format</i>	<i>Storage</i>	<i>Level of Restriction</i>
8.1.1	External Relations Strategy and policies		External Relations	Five years from when superseded	Destroy at end of retention period		Jisc	Jan-15	Electronic	Shared drive	Internal: Staff only
8.1.2	External organisations records contractual relationships (formal)	For HE/FE sector or Government see other record category	Library	Six years from the termination of contractual relationship	Destroy at end of retention period	A contract with an external organisation ends in January 2002. The contract is retained for 6 years from February 2002 and then destroyed in February 2008	Jisc	Sep-14	Paper	Off-site	Restricted

8.1.3	Institutional relationship management records	For HE/FE sector or Government see other record category	Governance and Compliance	Retain permanently	N/A	N/A	Historical value	Mar-14	Paper	Off-site	Restricted
8.1.4	Meetings with external organisations	e.g. external working groups, individual meeting notes, Bloomsbury Group meetings	All departments	Retained whilst operationally required	Destroy once no longer required	N/A	Operational need	Mar-14	Paper	Onsite	Restricted

#### 8.2 Alumni Relations Management

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
8.2.1	Alumni Policies and strategy		Alumni and Development	Five years from when superseded	Destroy at end of retention period	A policy is superseded in June 2013. The superseded version is retained for 5 years from July 2013 and destroyed in July 2018	Jisc	Jan-15	Electronic	Shared drive	Restricted
8.2.2	Alumni Procedures		Alumni and Development	Three years from when superseded	Destroy at end of retention period	A procedure is superseded in May 2014. The superseded version is retained for 3 years from June 2014 and destroyed in June 2017	Jisc	Jan-15	Electronic	Shared drive	Restricted
8.2.3	Alumni database		Alumni and Development	Retain whilst current (or likely to be current)	Delete entries when obsolete	N/A	Contains personal data of individuals, Jisc and Data Protection Act 1998		Electronic	Raiser Edge	Restricted

8.2.4	Alumni Complaints handling		Alumni and Development	Retain as long as alumni database record	Destroy at end of retention period	N/A	Jisc	Jan-15	Electronic	Raiser Edge	Restricted
8.2.5	Alumni survey, feedback and analysis		Alumni and Development	Three years from the end of the year the survey is completed	Review, weed and maintain any information of historical or operational value permanently	The survey is completed in January 2000. The records are retained for 3 years from January 2001 and then reviewed in January 2004	Jisc/ historical value/ operational need	Jan-15	Electronic	Raiser Edge	Restricted
8.2.6	Financial support to alumni associations	alumni and friends requests and responses	Alumni and Development	One year from end of the current financial year	Destroy at end of retention period		Jisc	Jan-15	Electronic	Shared drive	Restricted
8.2.7	Official alumni communications		Alumni and Development	One year from issue of communication	Destroy at end of retention period	A communication is sent out in October 2001. The communication is then destroy 1 year from November 2001 and destroyed in November 2002	Jisc	Jan-15	Electronic	Raiser Edge	Restricted
8.2.8	Emeritus status list		Governance and Compliance: Secretariat	Retain permanently	N/A	N/A	Operational need/historical value	Apr-14	Electronic and paper	Shared drive Onsite	SOAS internal: SOAS Staff and Students
8.2.9	Emeritus Policy		Governance and Compliance: Secretariat	10 years from superseded	Destroy at end of retention period	The policy is superseded in August 2011. The old version is retained for 10 years from September 2011 and destroyed in September 2021	Operational need/historical value	Apr-14	Electronic and paper	Shared drive SOAS website Onsite	Unrestricted

### 8.3 Donations Management

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
8.3.1	Gift Agreements	List of Gifts given to the School	Governance and Compliance Alumni and	Retain permanently	N/A	N/A	Jisc	Mar-14	Paper	Onsite	Restricted
8.3.2	Donor and depositor agreements	donor files, donor lists, depositor agreements signed donor agreements for material donated to Special Collections etc	Brunei Gallery Exhibitions Office, Special Collections	Retain permanently	N/A	N/A	Operational need	Sep-14	Electronic and paper	Shared drive Googledoc Library Special Collections Brunei Gallery	Restricted
8.3.3	Donor relationship management records	Donor stewardship, donor relationship correspondence	External Relations and Development	Retain permanently	N/A	N/A	Jisc/operational need	Oct-14	Electronic	Raiser Edge	Restricted
8.3.4	Prospective donor records	correspondence	Development and Alumni Relations Office Brunei Gallery Exhibitions Office	Six years from end of calendar year in which relationship with prospective donor ends or donation is rejected	Destroy at end of retention period	The last contact with a donor is in 2005. Following a periodic review, the file is declared inactive. It is retained for six years from 1 January 2006, and is destroyed in January 2012.	Jisc/Limitations Act 1980	Oct-14	Electronic	Raiser Edge Shared drive Onsite	Restricted

### 8.4 Public relations management

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
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8.4.1	Public Relations Policies		Academic Development: widening and Participation, Marketing	Five years from when superseded	Destroy at end of retention period	The policy is superseded in January 2000. The superseded version is retained for 5 years from February 2000 and then destroyed after February 2005	Jisc	Jul-14	Electronic	Shared drive	Unrestricted
8.4.2	Public relations procedures		Marketing	Three years from when superseded	Destroy at end of retention period	The procedures are superseded in January 2000. The superseded version is retained for 3 years from February 2000 and then destroyed after February 2003	Jisc	Jan-15	Electronic	Shared drive	Internal: Staff Only
8.4.3	Public Relations Code of Practice and Procedures		Governance and Compliance	Three years from the end of the year in which superseded	Destroy at end of retention period	The Code of Practice for Public relations is amended in August 2001. The old version is retained for 3 years from December 2001 and is destroyed in January 2005	Jisc	Mar-14	Paper and Electronic	Onsite Shared drive	Unrestricted
8.4.4	Public complaints	e.g. Internal handling of complaints, responses provided	Governance and Compliance	One year from the last action on the complaint	Destroy at end of retention period	A public complaint is responded to on 5 July 2014. No further action is taken on the case. The records documenting the complaint are retained for one year and destroyed on 6 July 2014	Jisc	Mar-14	Paper	Off-site	Restricted
8.4.5	Public events: organisation and administration		Marketing	One year from the completion of event	Destroy at end of retention period	The public event takes place on 24 January 2014. The records are retained for 1 year from 25 January 2014 and destroyed after 25 January 2015	Jisc	Jan-15	Electronic	Shared drive	Restricted

8.4.6	Outreach events: planning and evaluation of the impact/results	event numbers, event analysis reports	Academic Development: widening and participation, Marketing, Centre and Programmes Office	Three years from the end of the calendar year that the event was completed	Destroy at end of retention period	An event takes place on 23 July 2000. The planning and evaluation records for the event are maintained for 3 years from 24 July 2000 and then destroyed after 24 July 2003	Jisc	Jul-14	Electronic and paper	Shared drive Onsite	Internal Only: SOAS staff
8.4.7	Outreach and public events anonymous evaluation forms		Academic Development: widening and participation, Marketing	Completion of analysis of feedback	Destroy at end of retention period	N/A	Jisc	Jul-14	Paper	Onsite	Restricted
8.4.8	Training materials for outreach events	e.g. workshop plans for	Academic Development: widening and Participation	One year from completion of event or until superseded	Destroy at end of retention period	The event takes place on 12 July 2000. The training material is retained for 1 year from 13 July 2001 and then can be destroyed after this date	Jisc/operational need	Jul-14	Electronic	Shared drive	Unrestricted
8.4.9	Official and VIP Visits: organisation and administration		Marketing, Communications	One year from the completion of the visit	Transfer to Special Collections for review for archival value	The visit takes place between 15-17 July 2014. The records are retained for 1 year from 18 July 2014 and then transferred to Special Collections after 19 July 2015	Historical value	Jan-15	Electronic	Shared drive	Restricted

#### 8.5 HE/FE Sector Relations

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
8.5.1	Information for compiling the HESA, HEFCE and HESES		Planning, Governance and Compliance	Five years from the end of the calendar year in which the HESA, HEFCE or HESES return was submitted	Weeded and only core information retained permanently	The HESA return is submitted in July 2009. The information used to compile the HESA return is kept for 5 years from December 2009 and then destroyed in January 2015	Operational need	Mar-14	Paper and electronic	Off-site Shared drive	Restricted

8.5.2	Datasets returned to HE sector regulatory bodies	e.g. HESA, HEFCE, Higher Education Students Early Statistics Survey returns, HESA student and staff returns, TRACs	Registry: PGR, Planning, Finance	Retain permanently	N/A	N/A	Historical value	Jan-14	Paper and electronic	Off-site Shared drive	Restricted
8.5.3	HE/FE Steering/working Groups minutes and papers		Academic Development: widening and participation	Five years from the end of the academic year to which it relates	Review and either extend the retention period, destroy or retain permanently	N/A	Jisc		Electronic	Shared Drive	Restricted
8.5.4	HE/FE institutions contractual relationships (formal)	e.g. partnership agreements/ memorandum of understanding and associated papers for the exchange of students or staff, Careers Service and University of London Careers Group contract	Academic Development, Governance and Compliance, Estates and Facilities: Energy, Student Recruitment	Six years from the termination of the contractual relationship	Transfer to Special Collections for further appraisal	The contractual relationship ends in December 2012. The records are retained for 6 years from January 2012 and destroyed in January 2018	Limitations Act 1980/ historical need	Jul-14	Paper and electronic	Onsite Shared drive Governance and Compliance Safe	Restricted
8.5.5	HE/FE Sector collaborative groups (formal) Annual accounts and reports	Bloomsbury Groups annual accounts	Academic Development	Six years from the end of the financial year to which the annual accounts and reports relate	Destroy at end of retention period	The annual accounts relate to 2011-2012 academic year. The reports will be retained for 6 years from October 2012 and will then be destroyed after October 2018	Jisc	Jul-14	Paper	Off-site	Unrestricted
8.5.6	HE/FE Sector collaborative groups (formal): agendas, minutes and papers	Bloomsbury group minutes and papers	Academic Development, Estates and Facilities: Energy	Five years from the termination of the group	Destroy at end of retention period	The group is terminated in May 2000. The minutes and papers are retained for 5 years from June 2000 and then destroyed in June 2005	Jisc	Jul-14	Paper	Off-site	Restricted (to members of the group)

#### 8.6 Media relations

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
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8.6.1	Media briefings: planning and organisation		Communications	One year from the date of the briefing	Review for operational value and either extend review date, weed or destroy	A media briefing takes place on 1 October 2014. The records are retained for 1 year from 2 October 2014 and are destroyed after 2 October 2015	Jisc/operational need	Jan-15	Paper and electronic	Onsite Shared drive	Restricted
8.6.2	Filming Policy		Communications	Retain permanently	N/A	N/A	Jisc	Jan-15	Paper	Onsite	Internal: Staff Only
8.6.3	Media enquiries and responses		Communications	Three years from the last action on the enquiry	Destroy at end of retention period	An enquiry is closed in February 2001. The records are retained for 3 years from March 2001 and then destroyed after March 2004	Jisc	Jan-15	Paper and electronic	Onsite Shared drive	Restricted
8.6.4	Press releases		Communications	Five years from the end of the current year	Transfer to Special Collections for historical appraisal	A press release is released in February 2000. The press release is retained for 5 years from December 2000 and is transferred to Special Collections after January 2006	Jisc/Historical value	Jan-15	Electronic	Shared drive	Unrestricted
8.6.5	Organisation of media Interviews		Communications	One year from the date of the interview	Destroy at end of retention period	An interview takes place on 6 June 2014. The records are retained for 1 year from 7 June 2014 and then destroyed after 8 June 2015	Jisc	Jan-15	Electronic	Shared drive	Restricted

#### 8.7 Government Relations

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
8.7.1	Offer Access Agreements and monitoring returns		Academic Development: widening and participation	Six years from the end of the termination of the agreement	Review and either extend the retention period, destroy or retain permanently	The Offer Access Agreement for 2011/2012 will be retained for 5 years from 1 October 2012. In October 2017, the agreement will be reviewed and either destroyed, retained permanently or the have the review period extended	Operational need	Jul-14	Electronic	Shared Drive	Unrestricted



**8.8 Communications**

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
8.8.1	Communication Policies and Strategies		Communications	Five years from when superseded	Destroy at end of retention period	A policy is superseded in October 2014. The superseded version is retained for 5 years from November 2014 and then destroyed after November 2019	Jisc	Jan-15	Electronic	Shared drive	Internal: staff only
8.8.2	Communication Procedures		Communications	Three years from when superseded	Destroy at end of retention period	A procedure is superseded in June 2013. The superseded version is retained for 3 years from July 2013 and then destroyed after July 2016	Jisc	Jan-15	Electronic	Shared drive	Internal: staff only
8.8.3	Internal enquiries and responses		Communications	One year from the last action on the enquiry	Destroy at end of retention period	An enquiry is closed in December 2001. The enquiry is retained for 1 year from January 2002 and then destroyed after January 2003	Jisc	Jan-15	Electronic	SOAS website	Unrestricted

**8.9 Marketing**

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
8.9.1	Design of SOAS Corporate Identity and Branding		Marketing, communications, student recruitment	Five years after rebranding is completed	Transfer to Special Collections for historical appraisal	Rebranding takes place August-December 2013. The records are retained for 5 years from January 2014. In January 2019, the records are transferred to Special Collections	Historical value	Jan-15	Electronic and paper	Shared drive Onsite	Restricted
8.9.2	Marketing campaign records	media plans, template mailing campaign letters	Student Recruitment	Three years from the completion of the campaign	Destroy at end of retention period	The campaign ends in March 2000. The records are retained for 3 years from April 2000 and then destroyed after April 2003	Jisc	Jan-15	Electronic	Shared drive	Restricted

8.9.3	Digital Image bank		Marketing	Retain permanently	N/A	N/A	Historical value	Jan-15	Electronic	Hosted by SOAS	Internal: Staff Only
8.9.4	Marketing materials	Staff Development training courses: marketing materials	Human Resources: Staff Development	Retained until superseded	Destroy at end of retention schedule	N/A	Operational need	Mar-14	Electronic	Shared drive	Unrestricted
8.9.5	Mailing list	Distribution lists, event mailing list, mail campaigns	Alumni and Development, student recruitment, Centre and Programmes Office	Retain whilst current	Destroy at end of retention period	N/A	Data Protection Act 1998	Jan-15	Electronic	Raiser Edge Shared drive	Restricted

## 9. Information Management

### 9.1 Library Service

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
9.1.1	Library Policies and Strategy	Information Strategy, Library Access Policy etc	Library	Five years from when superseded	Destroy at end of retention period	The Information Strategy is superseded in December 2000. The superseded Information Strategy is retained for 5 years from January 2001 and destroyed in January 2006	Jisc	Sep-14	Electronic	SharePoint	Unrestricted
9.1.2	Collection Policy		Library	Retain permanently	N/A	N/A	Jisc	Sep-14	Electronic	Shared drive SharePoint	Unrestricted
9.1.3	Library Procedures		Library	Three years from when superseded	Destroy at end of retention period	Procedures are superseded in November 2001. The superseded procedures are retained for 3 years from December 2001 and then destroyed in December 2004	Jisc	Sep-14	Electronic	SharePoint	Unrestricted

9.1.4	Library Policies, Strategies and Procedures: working papers		Library	One year from the issue of the policy or procedure	Destroy at end of retention period	A procedure is issued in August 2001. The working papers can be destroyed 1 year after September 2001 and can be destroyed in September 2002	Jisc	Sep-14	Paper	Onsite	Restricted
9.1.5	Inter-library loan form requests		Library	One year from the end of the calendar year that the request was made	Destroy at end of retention period	The request is made in May 2000. The form is retained for 1 year from December 2000 and then destroyed in January 2002	Operational need	Sep-14	Electronic	Googledocs Shared drive	Restricted
9.1.6	Library statistics	Usage statistics, visitor statistics, tally sheets, acquisition statistics	Library	Three years from the end of the calendar year to which the statistics relate	Destroy at end of retention period	The statistics relate to January-December 2011. The statistics are retained for 3 years from January 2012 and then destroyed in January 2015	In-house practice	Jan-15	Electronic	Shared drive Googledocs SharePoint	Internal: Staff Only
9.1.7	Library services complaints		Library	Three years from the last action on the complaint	Review file. If the complaint could be the basis for legal action against the institution retain for 6 years from the last action on the case. If not, destroy at end of retention period	The complaint is resolved in June 2000. The records are retained until July 2003 and then reviewed. The complaint could not be the basis for legal action so is destroyed in July 2003	Jisc	Sep-14	Electronic and paper	Googlemail Onsite	Restricted
9.1.8	feedback forms: (individual)	Suggestion forms	Library	Retain until completion of analysis	Destroy at end of retention period	N/A	Jisc Data Protection Act	Sep-14	Electronic and paper	Googlemail Onsite	Restricted

9.1.9	Use of collections: requests for access and general enquiries	Archive enquiries, book enquiries, requests for accessing collections, DocEnquiry enquiries	Library	Two years from the end of the current year	Key information from substantive enquiries/recurring subjects to be stored in subject index enquiries folder. All other enquiries to be destroyed	An enquiry from June 2002 is retained for 1 year from January 2003. In January 2003, the enquiry is reviewed and any significant information retained and the rest destroyed	Jisc/ operational need	Jan-15	Electronic	Googlemail	Restricted
9.1.10	Library Patron record	Library membership record	Library	Five years from the date in which the relationship with the client ends	Destroy at end of the retention period	A student officially leaves the School on 12 July 2013. The library patron record would be retained for 5 years from 12 July 2013 and then destroyed after August 2018	Operational need	Sep-14	Electronic	Millenium	Restricted

#### 9.2 Publications Management

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
9.2.1	Library catalogue records		Library	Lifetime of the item	Authorisation to dispose of the redundant publication retained for one year after disposal of item. All other records can be destroyed at the end of the retention period	A publication is disposed of in July 2002. The authorisation to dispose of the publication is retained for one year from August 2002 and then destroyed in August 2003	Jisc	Aug-14	Electronic	Millennium	Unrestricted (some Restricted information)
9.2.2	Missing books records		Library	Six years from the end of the calendar year in which the book went missing	Destroy at end of retention period	A book goes missing in January 2001. The records are retained for 6 years from January 2002 and then destroyed in January 2008	Limitations Act 1980	Sep-14	Electronic	Shared drive	Restricted

9.2.3	Book recommendations		Library	Retain until item is purchased	Destroy at end of retention period	N/A	Operational need	Sep-14	Electronic	Google docs	Restricted
9.2.4	Book exchanges and related correspondence		Library	Retain for six years from the end of the relationship	Transfer to the Special Collections for appraisal of historical value	A book exchange agreement ends in July 2000. The file is retained for 6 years from August 2000 and then transferred to the Special Collections in August 2006	Historical value	Sep-14	Paper	Onsite	Restricted
9.2.5	Internal stock move of publications	Plans for internal stock move, correspondence discussing stock move	Library	One year from the movement of the item	Destroy at end of retention period	Publications are relocated in January 2000. The records are retained for 1 year from February 2000 and then destroyed in February 2001	Jisc	Sep-14	Electronic	Shared drive	Restricted
9.2.6	SOAS core publications	Annual report, annual accounts, SOAS Calendar, undergraduate and postgraduate prospectuses, alumni magazine, student handbooks, SOAS staff bulletin, graduation ceremony programme, graduation DVDs, SOAS bulletin	Marketing, Publications and Print, communications, external relations	Retain permanently	Transfer copy to Library or Special Collections on publication	N/A	Historical value	Oct-14	Paper and electronic	DVDs Onsite Special Collections Library	Unrestricted/ internal only: staff and students depending on publication
9.2.7	SOAS publications (other)	Leaflets of events, student guides, etc	Marketing, Publications and Print, student recruitment	Six years from end of calendar year in which published	Transfer to Special Collections for archival value	A booklet published in 2006 would be retained for 6 years from 1 January 2007, and reviewed by the ICM in January 2013	Historical value	Aug-15	Paper and electronic	Onsite Shared drive	Unrestricted
9.2.8	Distribution of School Publications		Library	One year from the end of the current year	Destroy at end of retention period	The records relate to 2009. The records are retained for 1 year from January 2010 and then destroyed in January 2011	Jisc	Sep-14	Electronic	Shared drive	Restricted

### 9.3 Archive Service

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
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9.3.1	Archives management policies	Collections Policy, Media Policy, Loans Policy	Special Collections	Five years from when superseded	Destroy at end of retention period	A collection policy is superseded in June 2011. The superseded policy is retained for 5 years from July 2011 and destroyed in July 2016	Jisc	Jan-15	Electronic	Shared drive SOAS website	Unrestricted
9.3.2	Archives management procedures	SCRR manual, CALM manual, loan procedures	Special Collections	Three years from when superseded	Destroy at end of retention period	A loan procedure is superseded in April 2007. The superseded version is retained for 3 years from May 2007 and then destroyed in May 2010	Jisc	Jan-15	Paper	Onsite	Internal: staff only
9.3.3	Usage/visitor statistical summaries		Special Collections	Retain permanently	N/A	N/A	Operational need	Jan-15	Electronic	Shared drive	Unrestricted
9.3.4	Archive statistics collection	Usage statistics, visitor statistics, tally sheets, acquisition statistics	Special Collections	Three years from the end of the calendar year to which the statistics relate	Destroy at end of retention period	The statistics relate to January-December 2011. The statistics are retained for 3 years from January 2012 and then destroyed in January 2015	In-house practice	Jan-15	Electronic	Shared drive Googledocs SharePoint	Internal: Staff Only
9.3.5	Promotional materials design and distribution	design and distribution of promotional material to raise awareness and encourage use of (items in) the archives.	Special Collections	Retain until superseded	Destroy at end of retention period	N/A	Jisc	Jan-15	Paper and electronic	Shared drive Special Collections	Internal:Staff Only
9.3.6	Library Visitors Book (for VIP visitors)		Special Collections	Retain permanently	N/A	N/A	Historical value/operational need	Jan-15	Paper	Special Collections	Unrestricted
9.3.7	Special Collections Visitor Books		Special Collections	Retain permanently	N/A	N/A	Historical value	Jan-15	Paper	Special Collections	Unrestricted
9.3.8	New user forms	legacy reader permission forms	Special Collections	Two years from the end of the calendar year to which they relate	Destroy at end of retention period	A new user form is completed in January 2000. It is retained for two years from January 2001 and then destroyed in January 2003	Operational need	Jan-15	Paper	Special Collections	Restricted

#### 9.4 Archive management

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
9.4.1	Published catalogue records – indexes, finding aids, catalogues, lists, guides		Special Collections	Retain permanently	N/A	N/A	Jisc	Jan-15	Paper and electronic	Special Collections CALM	Unrestricted
9.4.2	Disposal of de-accessioned records/material		Special Collections	Retain permanently	N/A	N/A	Operational need	Jan-15	Paper	Special Collections	Restricted
9.4.3	Location Registers	Location lists, location guides	Library Special Collections	Retain until superseded	Destroy at end of retention period	A location guide is superseded in January 2000. The superseded version is destroyed in January 2000	Jisc	Sep-14	Electronic and paper	Shared drive Special Collections	Restricted
9.4.4	Loan records for archive items to third parties	Loans Register, loan correspondence, loan agreements	Special Collections	Retain permanently	N/A	N/A	Limitations Act 1980	Jan-15	Paper and electronic	Special Collections Shared drive	Restricted
9.4.5	Movement of items to and from onsite/off-site storage records	Collection slips, requisition slips	Special Collections	Retain permanently	N/A	N/A	Operational need	Jan-15	Paper	Special Collections	Restricted
9.4.6	Selection and use of archival items by institutional staff	Selection of material for teaching and learning	Special Collections	Five years from the end of the current year	Review and either weed, extend the review date, destroy or retain permanently	Records documenting the selection of material for use in an open day in October 2000 is retained for 5 years from January 2001 until January 2006 and then reviewed and either weeded, destroyed, permanently retained or the review date is extended	Jisc	Jan-15	Paper and electronic	Special Collections Shared drive	Internal: staff only

9.4.7	Selection and use of archival items third parties	Selection of material for exhibitions, publications, television programmes	Special Collections	Five years from the last action on the project	Review and either weed, extend the review date, destroy or retain permanently	Records documenting the selection of material for use in an external exhibition ending in October 2000 is retained for 5 years from October 2000 until October 2005 and then reviewed and either weeded, destroyed, permanently retained or the review date is extended	Jisc	Jan-15	Paper and electronic	Special Collections Shared drive	Internal: staff only
9.4.8	Environmental monitoring and control of archives storage		Special Collections	Retain permanently	N/A	N/A	Operational need	Jan-15	Paper	Special Collections	Restricted
9.4.9	Enquiries about Special Collection material		Special Collections	One year from the end of the calendar year in which the enquiry was resolved	Destroy at end of retention period	An enquiry was resolved in January 2012. The enquiry is retained for one year from January 2013 and then destroyed after January 2014	Jisc	Jun-15	Paper and electronic	Special Collections Googlemail	Restricted
9.4.10	Conservation Reports and surveys		Special Collections	Retain permanently	N/A	N/A	Jisc/operational need	Jun-15	Paper	Special Collections	Internal: staff only

#### 9.5 Records Management

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
9.5.1	Records Management Policies		Governance and Compliance	Five years from when superseded	Destroy at end of retention period	A policy is superseded in May 2009. The superseded policy is retained for 5 years from June 2009 and then destroyed in June 2014	Jisc	Oct-14	Electronic	Shared drive	Unrestricted



9.5.2	Records Management Procedures		Governance and Compliance	Three years from when superseded	Destroy at end of retention period	Procedures are superseded in November 2001. The superseded procedures are retained for 3 years from December 2001 and then destroyed in December 2004	Jisc	Oct-14	Electronic	Shared drive	Unrestricted
9.5.3	Records Management procedures: working papers		Governance and Compliance	One year from the issue of procedures	Destroy at end of retention period	A procedure is issued in March 2000. The working papers are retained for 1 year from April 2000 and then destroyed in April 2001	Jisc	Oct-14	Paper and electronic	Shared drive Onsite	Restricted
9.5.4	Retention Schedule		Governance and Compliance	Retain permanently	N/A	N/A	Jisc	Oct-14	Electronic	Shared drive	Unrestricted
9.5.5	Record destruction authorisation		Governance and Compliance	Retain permanently	N/A		Jisc	Jun-14	Electronic	Googlemail	Restricted
9.5.6	Information surveys: working papers		Governance and Compliance	Retain until next survey	Destroy at the end of the retention period	An information survey is conducted in July 2013. The working documents are retained until the next survey in July 2016, when the previous papers can be destroyed	Jisc	Jan-14	Paper and electronic	Shared drive Onsite	Restricted
9.5.7	Off-site records storage inventory		Governance and Compliance	Retain permanently	Destroy at end of retention period	N/A	Operational need	Oct-14	Electronic	DeepStore Online (Third Party)	Restricted

9.5.8	Retrieval and delivery of boxes to and from off-site storage	Receipt of delivery, original request, confirmation of collection	Governance and Compliance	One year from the end of the calendar year in which records were returned or sent off-site	Destroy at end of retention period	The records were returned off-site in December 2000. The record documenting the retrieval is retained for one year from January 2001 and then destroyed in January 2002	Jisc	Mar-14	Electronic and paper	Googlemail Shared drive Onsite	Restricted
9.5.9	Onsite departmental records retrieval system		Human Resources: Core HR	Retain whilst current	Destroy at end of retention period	N/A	Operational need	Jul-14	Electronic	Shared drive	Restricted

#### 9.6 Collections Management

	<i>Record category</i>	<i>Examples of record category</i>	<i>Department</i>	<i>Retention period</i>	<i>Disposal action</i>	<i>Example</i>	<i>Authority</i>	<i>Added/ Amended</i>	<i>Format</i>	<i>Storage</i>	<i>Level of Restriction</i>
9.6.1	Collections Management Policy		Brunei Gallery Exhibitions Office	Five years from when superseded	Destroy at end of retention period	The Collection Policy is superseded in January 2001 and then retained for 5 years from February 2001 and destroyed in February 2006	Jisc	Feb-15	Electronic	Shared drive	Unrestricted
9.6.2	SOAS Collections Loan Agreements		Brunei Gallery Exhibitions Office	Retain permanently	N/A	N/A	SPECTRUM Version 3.1 Loans In Procedure, para. 25	Feb-15	Paper	Onsite	Restricted
9.6.3	Exhibition proposals (unsuccessful)		Brunei Gallery Exhibitions Office	Five years from decision of rejection	Review file. Weed, destroy or retain file in entirety permanently	N/A	MLA guidance	Feb-15	Paper	Onsite	Restricted
9.6.4	Exhibition proposals (successful)		Brunei Gallery Exhibitions Office	Five years from the end of the exhibition	Review file. Weed or retain file in entirety permanently	N/A	MLA guidance	Feb-15	Paper	Onsite	Restricted

9.6.5	Exhibition Display Material		Special Collections Brunei Gallery Exhibitions Office	Five years from the end of the exhibition	Select significant material for permanent preservation	An exhibition ends in March 2000. The display material is retained for 5 years from April 2000 and then appraised in April 2005 with significant material retained for permanent preservation	Jisc/ historical value	Jan-15	Paper	Special Collections	Unrestricted
9.6.6	Master copies of final versions of promotional materials	booklets, posters, articles	Special Collections Brunei Gallery Exhibitions Office	Retain until superseded or no longer operationally required	Transfer to Special Collections for appraisal	N/A	Historical value/Operational need	Jan-15	Paper and electronic	Shared drive Special Collections Onsite	Unrestricted
9.6.7	Inventory of SOAS collection (non-archival material)		Brunei Gallery Exhibitions Office	Retain permanently	N/A	N/A	Jisc	Feb-15	Electronic	Shared drive	Internal only: staff
9.6.8	Acquisition and Accession Registers	Archive accessions register, CALM accessions register, object entry forms, object accession record, Thesis register, Library accessions register	Library, Special Collections, Brunei Gallery Exhibitions Office	Retain permanently	N/A	N/A	Jisc	Sep-14	Paper and electronic	Special Collections CALM Library Shared Drive	Restricted
9.6.9	General enquiries about exhibitions and SOAS Collections		Brunei Gallery Exhibitions Office	One year from the last action on the enquiry	Destroy at end of retention period	An enquiry is finished in June 2011. The enquiry is retained for 1 year from July 2011 and then destroyed in July 2012	Jisc	Feb-15	Paper and electronic	Googlemail Onsite	Restricted

#### 9.7 Information Compliance

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
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9.7.1	Information requests (FOI, DPA)	e.g. external and internal correspondence, emails, notes, subject access requests, data protection requests	Governance and Compliance	Two years after the end of the calendar year in which the last action on the request was carried out	Destroy at end of retention period	Emails relating to the handling of a request responded to on 31 January 2011 can be destroyed after 31 December 2013 unless there was an internal review or further appeal in which case the two years will begin at the time when the last decision is communicated to the requester	Unlikely that further action will follow two years after last response/reference value limited after that period	Jan-14	Electronic	Shared drive	Restricted
9.7.2	FOI Requests database		Governance and Compliance	Three years from the end of the calendar year to which it relates	Review database to decide if it should be destroyed, given a new review date or retained permanently	The database relates to requests for 2014. The database is retained for 3 years from January 2015 and then in January 2018 the database is reviewed and it is either destroyed, given a new review date or retained permanently	Jisc	Mar-14	Electronic	Shared drive	Restricted
9.7.3	Requests for permission to copy works not covered by Copyright Licensing Agency licences	Special Collections photocopy request forms/photograph request forms, photograph declaration forms, permission to publish/copyright declaration forms, Legacy microfilm orders	Library Special Collections SOAS Journals Office Office	Retain permanently	N/A	N/A	Operational need/ Limitations Act 1980	Sep-14	Paper and electronic	Special Collections Shared drive Onsite Off-site	Restricted

9.7.4	Copyright Licensing/Permission records		All departments	6 years from the end of the licensed period/use of the material has ceased	Destroy at end of retention period	Correspondence with author/publisher authorising use of material	Limitations Act 1980	Mar-14	Paper	Onsite	Restricted
9.7.5	CLA registration for scanning of material	Copyright Licensing Agency registration	Governance and Compliance	Three years after end of academic year covered	Destroy at end of retention period	Submissions for 2009/10 will be deleted after 31 July 2013	JISC recommend 1 year; retained longer for reference purposes	Jan-14			

#### 9.8 Information Systems

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
9.8.1	Information System Policies	IT system back-up and recovery policy	IS	Five years from when superseded	Destroy at end of retention period	A policy is superseded in February 2000. The superseded version is retained for 5 years from March 2000 and then destroyed in March 2005	Jisc	Oct-14	Electronic	Shared drive SOAS Website	Unrestricted
9.8.2	Information System procedures	IT system user manual, IT system operational procedures, IT system support procedures	IS	Three years from when superseded	Destroy at end of retention period	A user manual is superseded in May 2000. The superseded version is retained for 3 years from June 2000 and then destroyed in June 2003	Jisc	Oct-14	Electronic	Shared drive SOAS Website	Unrestricted
9.8.3	ICT systems manuals and procedures produced (third party)		Estates and Facilities: timetable, IS	Retain until no longer operationally required	Destroy at end of retention period	N/A	Operational need	Nov-14	Paper	Onsite	Unrestricted
9.8.4	System initial development, modification and maintenance	System development, specifications and source code	Estates and Facilities: timetable, IS, Special Collections	Five years from the decommissioning of the system	Destroy at end of retention period	A system is decommissioned in July 2000. In August 2005, the records are transfer to the CRMA for appraisal	Jisc	Nov-14	Paper and electronic	Off-site Special Collections Subversion	Restricted
9.8.5	System description manual	CSBS system description manual	IS	Retain until the IT system is no longer in use	Destroy at end of retention period	An IT system is replaced in January 2001. The obsolete system's description manual is destroyed in February 2001	Jisc	Oct-14	Electronic	Shared drive	Internal Only: Staff

9.8.6	System audit logs		IS	One year from the end of the calendar year in which generated	Destroy at end of retention period	A log file generated in 2008 would be retained for one year from January 2009, and deleted in January 2010.	Jisc	Feb-09	Electronic	Shared drive	Restricted
9.8.7	IT System licences (live)		IS	Retain until issue of new licence	Destroy at end of retention period	A licence expires in July 2010 and a new licence is agreed in July 2010. The superseded licence can be destroyed in July 2010 once the new licence has been agreed	Jisc	Jun-14	Paper	Onsite	Restricted
9.8.8	Licence agreements		Library	Six years from the end of the licence	Destroy at end of retention period	The licence ends in May 2001. The expired licence is retained for 6 years from June 2001 and then destroyed in June 2007	Limitations Act 1980	Sep-14	Paper and electronic	Onsite Shared drive	Restricted
9.8.9	IT systems training	Training presentations, handouts	IS	One year from when superseded	Destroy at end of retention period	Training presentations and handouts are superseded in July 2011. The material is retained for 1 year from August 2011 and destroyed in August 2012	Jisc	Oct-14	Electronic	Shared drive Personal drive	Internal Only: Staff and students
9.8.10	Monitoring and testing of systems and action taken to rectify problems and optimise performance	User Acceptance Testing, test plans, results, test reports (CSBS systems), network management issue reports	IS	One year from the end of the current year	Destroy at end of retention period	The system is tested in January 2001. The records are retained for 1 year from January 2002 and destroyed in January 2003	Jisc	Apr-15	Electronic	Shared drive Nagios	Restricted
9.8.11	Issues and faults reported by users of ICT systems	Includes action taken to resolve the problem	IS	One year from the last action on fault/issue	Destroy at end of retention period	An issue is resolved in March 2014. The report is retained for 1 year from April 2014 and is destroyed in April 2015	Jisc	Apr-15	Electronic	Supportworks SharePoint	Restricted

9.8.12	Management of data storage including backup and archiving	Server maintenance log books, backup reports, registers of backup tapes	IS	One year from the end of the current year	Destroy at end of retention period	The records are relate to January 2014. The records are retained for 1 year from January 2015 and destroyed in January 2016	Jisc	Apr-15	Electronic	Third Party	Restricted
9.8.13	Incident log of attempted or actual security breaches on IT systems and action taken		IS	One year from the last action on the incident	Destroy at end of retention period	An incident occurs in January 2011. The log is retained for 1 year from February 2011 and then destroyed after February 2012	Jisc	Aug-15	Electronic	Googledocs	Restricted
9.8.14	Development of IT systems project management documents		IS	Five years from the end of the project	Destroy at end of retention period	The project ends in March 2000. The documents are retained for 5 years from April 2000 and then destroyed after April 2005	Jisc	Sep-15	Electronic	SharePoint	Internal: staff only

#### 9.9 Information Collection, Analysis and Reporting

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
9.9.1	Internal Reporting		All Departments	Three years from the end of the current year	Destroy at end of retention period	An internal report relates to June 2001. The report is retained for 3 years from the end of December 2001 and then is destroyed in January 2005	Jisc	Sep-14	Electronic	SharePoint Shared drive	Restricted

### 10. Teaching and Learning

#### 10.1 Course Administration

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
10.1.1	Timetable data	Teaching timetable, Examinations timetable, Room bookings timetable	IT, Estates and Facilities, Faculty offices	Three years from end of the academic year to which the data relates	Destroy at end of the retention period	Timetable data relating to the 2006/07 academic year would be retained for three years from October 2007, and deleted in October 2010	Jisc	Nov-14	Paper and electronic	Syllabus Onsite	Internal only: Staff and students

10.1.2	Formal independent reviews of taught programmes	Conduct and results, and the responses to the results	Academic Development	Five years from the end of the academic year in which the review was completed	Destroy at end of retention period	The review was completed in 2010-2011. The records will be retained for 5 years from October 2011 and then destroyed after November 2016	Jisc	Jul-14	Paper	Off-site	Restricted
10.1.3	Student numbers and other taught programme statistics	Data on, and analyses of student numbers and other taught programme statistics	Academic Development	Five years from the end of the academic year to which they relate	Destroy at end of retention period	The records relate to the 2009-2010 academic year. The records will need to be retained for 5 years from October 2010 and then destroyed after November 2015	Operational need	Jul-14	Electronic	Shared drive	Restricted
10.1.4	Course material delivered to students	Database of course material delivered	Registry: Distance Learning	One year from the end of the academic year in which the material was dispatched	Destroy at end of the retention period	The material is dispatched for the 2012-2013 academic year. The record of dispatch on the database is retained for 1 year from October 2013 and destroyed in October 2014	Operational need	Mar-14	Electronic	Shared drive	Restricted
10.1.5	Language Year Abroad and Intercollegiate college Agreements		Registry: Fees and Scholarship	Six years from the end of the academic year in which the student completed	Destroy at the end of the retention period	A student completes in the 2012/2013 academic year. The Language Year Abroad Agreement is retained for six years from October 2013 and then destroyed in October 2019	Limitations Act 1980	Jan-14	Paper	Onsite	Restricted
10.1.6	Programme specifications		Faculty offices, Language Centre	Seven years from the end of the academic year in which superseded or terminated	Review by Special Collections for archival value	A programme specification is updated in 2007/08. The previous version is retained for seven years from 1 October 2008, and destroyed in October 2015	Jisc/ operational need	Mar-14	Paper and electronic	Onsite Shared drive	Unrestricted
10.1.7	Course Teaching and learning materials	e.g. Course handouts, reading lists	Faculty Offices	Retain until superseded	Destroy at end of retention period	N/A	Operational need	Aug-15	Electronic	Moodle (BLE)	Internal: Staff and Student only



10.1.8	Planning and conducting of teaching and learning events and trips	e.g. CISD Geneva trip	Faculty offices	One year from the end of the current year	Destroy at end of retention period	An event takes place in July 2011. The records are retained from December 2011 and are destroyed in January 2013	Jisc	Aug-15	Electronic	Shared drive	Restricted
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#### 10.2 Teaching Quality and Standards Management

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
10.2.1	QAA audits: key documents (e.g. final reports, self-evaluation documents, action plans)		Governance and Compliance, Registry and Student Services	Retain permanently	N/A	N/A	Historical Value/operational need	Jan-14	Paper and electronic	Shared Drive Off-site	Unrestricted
10.2.2	QAA audits: background papers		Governance and Compliance, Registry and Student Services	Retain until completion of audit	Destroy at end of the retention period	The QAA audit is completed in July 2012. The background papers will be retained until August 2012 and then destroyed	Operational need	Jan-14	Paper and electronic	Shared Drive Onsite	Restricted
10.2.3	QAA, TQA submissions		Governance and Compliance	Retain permanently	N/A	N/A	Operational need/historical value	Feb-09	Paper	Onsite	Restricted
10.2.4	Programme reviews		Faculty offices, Registry: Student Support and Records	Seven years from end of academic year to which review relates	Destroy at end of the retention period	Programme review forms and summaries for the 2006/07 academic year would be retained for 7 years from 1 October 2007, and destroyed in October 2014	Jisc	Mar-14	Paper and electronic	Shared Drive Off-site	Restricted
10.2.5	Course evaluation forms and analysis of feedback		Language Centre, Faculty offices, Registry	Seven years from end of academic year to which analysis relates	Destroy at end of the retention period	Reports analysing feedback forms from the 2007/08 academic year would be retained for seven years from 1 October 2008, and destroyed in October 2015	Jisc	Mar-14	Electronic	Shared drive	Restricted

10.2.6	Student feedback forms and course evaluation forms		Language Centre, Faculty offices, Registry	Until completion of analysis of feedback	Destroy at end of the retention period	Feedback forms relating to the 2007/08 academic year would be retained until the feedback has been analysed and statistics checked, and then destroyed.	Jisc	Mar-14	Electronic and	Shared drive Onsite	Restricted
10.2.7	Teaching programme development and review procedures		Academic Development: QA	Five years from the end of the calendar year in which superseded	Destroy at end of the retention date	The procedures are superseded in January 2000. The superseded version is retained for 5 years from February 2000 and then destroyed in February 2005	Jisc	Jul-14	Electronic	Shared drive	Unrestricted

### 10.3 Learning Support

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
10.3.1	Student Learning Support Resources		Academic Development: Learning and Development	Retain for two years from the end of the life of the resource	Destroy at end of retention period	The resource ends in February 2011. The resource is retained for 2 years from March 2011 and then destroyed after March 2013	Jisc	Jul-14	Electronic	Shared drive	Internal:SOA S students only
10.3.2	Learning Support Agreements		Student Welfare Office	Six years from the end of the relationship with the student	Destroy at end of retention period	The student leaves the School in July 2011. The LSA is retained for 6 years from July 2011 and destroyed in August 2017	Retained in line with the student record	Aug-15	Electronic	Shared drive	Restricted

## 11. Research

### 11.1 Research

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
11.1.1	Grant files: external grants – successful applications		Research Office, Centre and Programmes Office	Six years from end of calendar year in which project completed (unless contract with funder specifies a longer retention period)	Review by Special Collections for archival value	The file on an externally funded project which ended in 2008 would be retained for six years from 1 January 2009, and reviewed in January 2015	Limitations Act 1980	Jan-14	Paper and electronic	Shared Drive Off-site Onsite Gmail	Restricted

11.1.2	Grant files: external grants – unsuccessful applications		Research Office, Centre and Programmes Office Arts and Humanities Faculty Office	Five years from end of the calendar year in which application rejected	Destroy at end of the retention period	The file on an unsuccessful application for an external grant which was rejected in 2005 would be retained for five years from 1 January 2006, and destroyed in January 2011	Operational need	Jan-14	Paper and electronic	Shared Drive Off-site Onsite Googlemail	Restricted
11.1.3	Grant files: internal grants – successful applications		Research Office, Arts and Humanities Faculty Office	Three years from end of calendar year in which project completed	Review by Special Collections for archival value	The file on an internally funded project which ended in 2008 would be retained for three years from 1 January 2009, and destroyed in January 2012	Jisc	Jan-14	Paper and electronic	Shared Drive Off-site Googlemail	Restricted
11.1.4	Grant files: internal grants – unsuccessful applications		Research Office, Arts and Humanities Faculty Office	12 months from end of calendar year in which application rejected	Destroy at end of the retention period	The file on an unsuccessful application for an internal grant which was rejected in 2008 would be retained for 12 months from 1 January 2009, and destroyed in January 2010	Jisc	Jan-14	Paper and electronic	Shared Drive Off-site Googlemail	Restricted
11.1.5	REF submissions	Includes legacy RAE submissions	Research Office	Retain permanently	N/A	N/A	Jisc	Feb-09	Paper and electronic	Shared Drive Onsite	Restricted

11.1.6	Research Quality external reviews and audits: supporting documentation	records documenting the conduct and review of the REF	Research Office	Five years from the submission of the REF	Destroy at end of retention period	The REF is submitted in November 2014. The supporting documentation is retained for 5 years from December 2014 and then destroyed in December 2019	SOAS Code of Practice/ jisc	Mar-15	Electronic	Shared drive	Restricted
11.1.7	Research Quality external reviews and audits: individual staff circumstances	mitigating circumstances, records relating to REF or RAE complex circumstances, individual staff circumstances, complex special circumstances	Research Office	One year after submission	Destroy at end of retention period	The REF is submitted in November 2014. The documents are retained for one year from December 2014 and then destroyed in December 2015	SOAS Code of Practice	Mar-15	Electronic	Shared drive	Restricted
11.1.8	Honorary Appointment Policy		Governance and Compliance: Secretariat	Three years from when superseded	Destroy at end of retention period	The policy is superseded in January 2000. The old version is retained for 3 years from February 2000 and then destroyed in February 2003	Operational need/historical value	Apr-14	Electronic	SOAS website	Unrestricted
11.1.9	Honorary Appointments (successful)	e.g Academic Hospitality (visiting scholars)	Centre and Programmes Office, Arts and Humanities Faculty Office	Six years from termination of appointment	Destroy at end of retention period	An appointment is terminated in January 2011. The records are retained for 6 years from February 2011 and then destroyed after February 2017	Jisc	Aug-15	Paper and electronic	Shared Drive Onsite	Restricted
11.1.10	Honorary Appointments (unsuccessful)	e.g Academic Hospitality (visiting scholars)	Centre and Programmes Office, Arts and Humanities Faculty Office	One year from end of the month in which rejected	Destroy at end of retention period	The honorary appointment application is unsuccessful in March 2001. The documents are retained from one year from April 2001 and destroyed in April 2002	Jisc	Aug-15	Paper and electronic	Shared Drive Onsite	Restricted
11.1.11	Honorary appointments database		Centre and Programmes Office	Retain Permanently	N/A	N/A	Historical value/operational need	Feb-15	Electronic	Shared drive	Restricted

## 12. Knowledge Transfer and Enterprise

### 12.1 Education and Training

	<i>Record category</i>	<i>Examples of record category</i>	<i>Department</i>	<i>Retention period</i>	<i>Disposal action</i>	<i>Example</i>	<i>Authority</i>	<i>Added/ Amended</i>	<i>Format</i>	<i>Storage</i>	<i>Level of Restriction</i>
12.1.1	Enterprise and consultancy projects and courses files (successful bids)		Research Office	Six years from the end of the contract	Destroy at end of retention period	The consultancy contract ends in January 2012. The file is retained for 6 years from February 2012 and destroyed in February 2018	Jisc	Feb-15	Paper and electronic	Onsite Shared drive	Restricted

### 12.2 Consultancy

	<i>Record category</i>	<i>Examples of record category</i>	<i>Department</i>	<i>Retention period</i>	<i>Disposal action</i>	<i>Example</i>	<i>Authority</i>	<i>Added/ Amended</i>	<i>Format</i>	<i>Storage</i>	<i>Level of Restriction</i>
12.2.1	Consultancy agreements and contracts	includes variations of contracts	SOAS Journals Office	Six years from termination of contract	Destroy at end of retention period	The agreement is terminated in September 2011. The agreement is retained for 6 years from October 2011 and destroyed in October 2017	Limitations Act 1980/ Jisc	Feb-15	Paper	Onsite	Restricted
12.2.2	Consultancy proposals/tenders (unsuccessful)			One year from response to bid	Destroy at end of retention period	A proposal is put forward in January 2001. The proposal is unsuccessful. The records are retained for 1 year from February 2001 and then destroyed in February 2002	Jisc/operational need	Feb-15	Electronic	Shared drive	Restricted

### 12.3 Intellectual Property Rights

	<i>Record category</i>	<i>Examples of record category</i>	<i>Department</i>	<i>Retention period</i>	<i>Disposal action</i>	<i>Example</i>	<i>Authority</i>	<i>Added/ Amended</i>	<i>Format</i>	<i>Storage</i>	<i>Level of Restriction</i>
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12.3.1	Royalties		SOAS Journals Office Office	Six years from the expiry of the Intellectual Property right	Destroy at end of retention period	The royalty rights expire in December 2000. The paperwork is retained for 6 years from January 2001 and then destroyed in January 2007	Jisc	Feb-15	Paper	Onsite	Restricted
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### 13. Publishing

#### 13.1 Publishing Production

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
13.1.1	Commissioning, editing and production of publications and articles		SOAS Journals Office Office	One year from the end of the year in which published	Destroy at end of retention period	An article is published in December 2014. The documentation regarding the production of the publication is retained for 1 year from December 2014 and destroyed in January 2016	Jisc	Feb-15	Electronic and paper	Onsite Gmail Shared drive	Restricted
13.1.2	Rejected publications and articles		SOAS Journals Office Office	One year from the end of the year in which rejected	Destroy at end of retention period	A publication is rejected in April 2013. The publication is retained for 1 year from December 2013 and then destroyed in January 2015	Jisc	Feb-15	Electronic and paper	Onsite Gmail Shared drive	Restricted
13.1.3	SOAS Editorial Board Committee minutes and papers (pre 1995)		SOAS Journals Office Office	Retain permanently	N/A	N/A	Operational need/historical value	Feb-15	Paper	Onsite	Restricted
13.1.4	SOAS Editorial Board Committee minutes and papers (post 1995)		SOAS Journals Office Office	Retain permanently	N/A	N/A	Operational need/historical value	Feb-15	Electronic	Shared Drive	Restricted
13.1.5	SOAS publications database		SOAS Journals Office Office	Retain permanently	N/A	N/A	Operational need/historical value	Feb-15	Electronic	Shared Drive	Restricted

13.1.6	Prize awards: nominations, notification of award and prizes	Gordon White Prize	SOAS Journals Office	Five years from the end of the current year	Destroy at end of retention period	The prizes are awarded in January 2001. The records are maintained for 5 years from December 2001 and then destroyed in January 2007	Jisc	Feb-15	Paper	Off-site	Restricted
13.1.7	List of prize winners	Gordon White Prize Winners list	SOAS Journals Office	Retain permanently	N/A		Historical value	Feb-15	Paper	Onsite	Restricted
13.1.8	Proof copies of artwork for publication		Print room	One year from end of the calendar year in which published	Destroy at end of retention period	The artwork is published in January 2001. The proof is retained for 1 year from December 2001 and then destroyed in January 2003	Jisc	Mar-15	Paper	Onsite	Restricted
13.1.9	Webpages: design, editing and production including enquiries		All departments	One year from the end of the year in which unpublished	Review. If this is the primary version of the record, check the retention schedule for the retention period of the record type. If not, destroy		Jisc	Mar-15	Electronic	CMS Googlemail	Unrestricted

#### 14. Academic Administration

##### 14.1 Student Recruitment

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
14.1.1	Student Recruitment campaign analysis and results		Student Recruitment	Five years from end of campaign	Destroy at end of retention period	The campaign ends in February 2003. The records are retained for 5 years from March 2003 and destroyed in	Jisc	Jan-15	Electronic	Shared drive	Restricted
14.1.2	Student Recruitment event design, organisation and summary results	master templates of event publications	Student Recruitment	Five years from completion of event	Destroy at end of retention period	The event finishes in April 2000. The records are retained for 5 years from May 2000 and destroyed after May 2005	Jisc	Jan-15	Electronic	Shared drive	Unrestricted

14.1.3	Enquiries from prospective students	e.g. prospectus requests	Registry: PGR, Registry: Admissions, student recruitment	Three years from end of the academic year in which enquiry was processed	Destroy at end of retention period	An enquiry about a course is received and a response sent in January 2008. The enquiry and the School's response would be retained for 3 years from 1 October 2008, and destroyed in October 2011	Operational need	Jan-14	Electronic	Googlemail	Restricted
14.1.4	Summaries and analyses of student enquiry, recruitment and retention data		Registry: PGR, Registry: Admissions	Five years from the end of the calendar year to which it relates	Destroy at end of retention period	The analysis of student data is completed in January 2000. The analysis is retained for 5 years from December 2000 and then destroyed in January 2006	Jisc	Mar-14	Electronic	Shared drive	Restricted

#### 14.2 Student Admissions

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
14.2.1	Student applications: Unsuccessful		Registry: PGR, Academic Development: widening and Participation, Registry: Admissions IFCELS	12 months from end of the month in which admissions process completed	Destroy at end of retention period unless there is a formal appeal or complaint (see 14.2.4 and 14.2.5). IFCELS retain for one more year and then destroy	A decision on an unsuccessful application is made in June 2008. The paper file on the application would be retained for 12 months from 1 July 2008, and destroyed in July 2009	Equality Act 2010 and operational need	Aug-14	Paper and electronic	Onsite Email UnitE	Restricted
14.2.2	Student applications: Successful		Registry	Six years from end of academic year in which the student completed	Moved into the student file and retained in line with this retention	N/A	Limitations Act 1980	Jul-14	Paper/electronic	Part of student file	Restricted



14.2.3	Distance Learning: Successful application		Registry	Two years from the date the offer was given	Review. If student has not enrolled, destroy. If enrolled, becomes part of student file	A student receives an offer of acceptance in June 2012. The application is retained for 2 years from June 2012 and then reviewed in June 2014. The student does not enroll and then the file is destroyed in June 2014	In-house Procedure	Mar-14	Electronic	Shared drive Googlemail	Restricted
14.2.4	Formal appeal against non-acceptance		Registry: Admissions	Six years from end of the calendar year in which the last action on the case took place	Destroy at end of retention period	The last action on the appeal takes place in October 2000. The appeal is retained for 6 years from December 2000 and destroyed in January 2007	Limitations Act 1980	Mar-14	Electronic	Googlemail Onsite	Restricted
14.2.5	Complaints regarding non-acceptance		Registry: Admissions	Three years from end of the calendar year in which the last action on the case took place	Destroy at end of retention period	The last action on the complaint takes place on 15 July 2000. The complaint is retained from 3 years from December 2000 and destroyed in January 2004	Jisc	Mar-14	Electronic	Googlemail	Restricted
14.2.6	Qualification Checks		Registry: Admissions	Retained as part of student/application record	Retained in line with student record retention	N/A	In-house Procedure	Mar-14	Electronic and paper	Unit-E Onsite	Restricted
14.2.7	Student Handbooks		Registry	Retained permanently	Retained until superseded and then transferred to Special Collections	N/A	Historical value	Jan-14	Paper and electronic	Onsite Shared drive	Unrestricted

14.2.8	Programmes and events for new students	e.g. Welcome Week documentation	Registry: Student Support and Records	One year from the end of the year in which administered	Send to Special Collections for review for archival value	Documents relating to the administration of programmes and events for Welcome Week for the 2013/2014 Academic Year Welcome Week are kept for one year from the December 2013. The documents are then sent to the Special Collections in January 2015 for appraisal	Historical value	Jan-14	Paper	Off-site	Restricted
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#### 14.3 Student File Administration

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
14.3.1	Student administration: Policies and Procedures	Includes Code of Practice, internal procedures, SOAS degree regulation, fees and funding	Registry and Student Services	Ten years from the end of the year when superseded	Destroy at end of retention period	A Code of Practice for Postgraduate Research is superseded in October 2010. The previous version is kept for 10 years from December 2010 and then destroyed after January 2021	Jisc	Jan-14	Paper and electronic	Onsite Shared drive	Unrestricted
14.3.2	Student administration: Policies and Procedures: Working Papers		Registry and Student Services	One year from the end of the calendar year in which the policy/procedure is issued	Destroy at end of retention period	A Code of Practice for Postgraduate Research is issued on 10 October 2007. The working papers for the Code of Practice will be kept for 1 year from December 2007 and then destroyed in January 2009	Jisc	Jan-14	Paper and electronic	Shared drive Onsite	Restricted

14.3.3	Student disciplinary and grievance files, student harassment complaint files	Dignity at SOAS: case files	Governance and Compliance	Six years from end of the calendar year in which the last action on the case took place	Destroy at end of the retention period	A file on a disciplinary case ends in 2007 with the conclusion of the student's appeal. The file would be retained for 6 years from 1 January 2008 and destroyed in January 2014, unless further action took place in the interim (e.g. appeal to the Office of the Independent Adjudicator) – in which case the retention period	Limitations Act 1980	Mar-14	Paper and electronic	Onsite Shared drive	Restricted
14.3.4	Student complaints (individual, informal)	Handling of student complaints where the formal complaints procedure is not initiated	Registry: PGR, Governance and Compliance	Six years from end of the academic year in which the student completed	When the student file is reduced to core documentation, these records can be destroyed	N/A	In keeping with retention of core student file		Paper	Part of student file	Restricted
14.3.5	Distance Learning: Student Records	Includes application, copies of ID and Official transcripts, letter confirming student offer, enrolment form, exam results	Registry	Five years from the date of enrolment	Retain for 6 years from end of calendar year in which the student graduates or terminates the course or from the expiry of the enrolment period, then destroy	The student enrolls in January 2000. The student does not complete the course by February 2005 and there has been no extension. The file is then retained for 6 years from December 2005 and destroyed in January 2012	Operational need	Mar-14	Paper and electronic	Off-site Shared drive	Restricted

14.3.6	Student registration: ID		Registry: Student Support and Records	Six years from end of the academic year in which the student completed/terminated their relationship with the school	Review: Check that the student is no longer studying at SOAS before destroying	A certified copy of the student's ID is taken in October 2008. The certified copy of the ID is then kept for six years from 1 October 2009. In October 2015, the ID is then checked against the student record to see if they have left. The student is still studying so the retention period is extended for one year	Jisc	Apr-15	Paper and electronic	On-site SharePoint	Restricted
14.3.7	Ex-student files: students completing up to and including 1997/98	PGT and UGT, faculty offices ex-student record	Registry: Student Support and Records, faculty offices	Six years from end of the academic year in which the student completed/terminated their relationship with the school	Student profiles retained 1977-1997 and student indexes retained 1916-1995. All other files to be destroyed	N/A	Limitations Act 1980/ historical value/operational need	Apr-15	Paper	Onsite	Restricted
14.3.8	Ex-student files: students completing up to and including 1997/98	Intercollegiate degrees, MPhil/PhD and distance learning, faculty office ex-student record. Includes course change forms	Registry: Student Support and Records, distance learning, faculty offices	Six years from end of the academic year in which the student completed/terminated their relationship with the school	Reduce file to core documentation necessary to generate transcript and confirmation of qualification; retain core documentation permanently	N/A	Limitations Act 1980/ historical value/operational need	Apr-15	Paper	Onsite	Restricted
14.3.9	Student Visa: home Office correspondence		Registry: PGR	Six years from end of the academic year in which the student completed	Should be kept as part of the student file and retained in line with this retention	N/A	In-house Procedure/ Home office requirement		Electronic and paper	Googlemail Student file	Restricted

14.3.10	Ex-student files: students completing after 1997/98	Includes EFS, summer school, UG and PGT, faculty office ex-student record, IFCEL student record, Scholarship student record, summer programmes and pre-sessional courses, Language Centre non-accredited courses. Includes record of course, tutorial and programme changes, CAS (Confirmation of Acceptance to Study) letters	Registry: Student Support and Records, Academic Development: widening and Participation Faculty offices Language Centre IFCELS	Six years from end of the academic year in which the student completed/terminated their relationship with the school	Destroy at end of retention period	The file on a student who completed their programme of study in the 2005/06 academic year would be retained for six years from 1 October 2006, and destroyed in October 2012	Limitations Act 1980	Apr-15	Paper and electronic	Off-site Shared drive SharePoint Googlemail FileMaker	Restricted
14.3.11	Ex-student files: students completing after 1997/98 (others)	Intercollegiate degrees such as MA area studies, MA international studies, Diploma and LLM leavers, MPhil/PhD and distance learning, Year Abroad and Erasmus students, Language Centre (accredited courses). Includes course, tutorial and programme changes, Diploma and certificate student files	Registry: Student Support and Records Language Centre	Six years from end of the academic year in which the student completed/terminated their relationship with the school	Reduce file to core documentation necessary to generate transcript and confirmation of qualification; retain core documentation permanently	The file on an intercollegiate LLM student who completed in 2002 would be retained until 1 October 2008, and then reduced to a core set of data which would be retained permanently	Limitations Act 1980/ information required for transcripts	Apr-15	Paper and electronic	Off-site Shared drive Onsite	Restricted
14.3.12	Ex-student records: data on databases	Distance Learning: Core student record on the database, student records on UNIT-e	Registry: Student Support and Records IFCELS	Six years from end of the academic year in which the student completed/terminated their relationship with the school	Core student record required for transcript retained permanently all other information destroyed at end of retention period	N/A	Information required for transcript	Apr-15	Electronic	UnitE Imperial College database Shared drive Hobsons	Restricted

14.3.13	Intercollegiate forms		Registry: Fees and Scholarship	Retained until invoicing between colleges agreed	Destroy at end of retention period	A College agrees payment of pro-rata tuition fees in August 2009. The intercollegiate form is retained until September 2009 and then destroyed	Operational need	Jan-14	Paper	Onsite	Restricted
14.3.14	Distance Learning post enrolment enquiries		Registry	Five years from the date of enrolment	Retain for 6 years from end of calendar year in which the student graduates or terminates the course or from the expiry of the enrolment period, then destroy	A student submits an enquiry post enrolment in November 2007. The student graduates in July 2012. The enquiry is retained for 6 years from December 2012 and destroyed in January 2019	Operational need	Mar-14	Electronic	Googlemail Outlook	Restricted
14.3.15	Student Attendance Registers and action taken to deal with unsatisfactory attendance		Faculty Offices	Six years from end of the academic year	Destroy at end of retention period	The record relates to attendance for the 2010-2011 academic year. The record is retained for 6 years from October 2011 and then destroyed in October 2017	Jisc	Aug-15	Electronic and paper	Shared drive (legacy) Googlemail (action taken) Columbus (UnitE) Onsite (Legacy)	Restricted
14.3.16	Student enquiries (individual academic progress related issues)	e.g. transfer application forms, evidence regarding change of name/personal details, copies of emails regarding enrolment changes etc	Registry, Faculty Offices	Six years from the student's termination of relationship with the School	Destroy at end of retention period	A student leaves the School in July 2000. The enquiry is retained for 6 years from July 2000 and then destroyed in August 2006	Retained in line with core student record	Aug-15	Electronic	SID Googlemail	Restricted
14.3.17	Student General enquiries (non-academic progress related enquiries)	e.g. general enquiries about course information, timetables etc.	Registry, Faculty Offices	Four years from date of the enquiry	Destroy at end of retention period	A student makes an enquiry in April 2014. The enquiry is retained for 4 years from April 2014 and then destroyed in April 2018	Operational need	Aug-15	Electronic	SID Googlemail	Restricted
14.3.18	Student Academic Progress Records and formal action taken to deal with unsatisfactory progress		Governance and Compliance, Registry: Student Support and Records	Six years from the student's termination of relationship with the School	Destroy at end of retention period	A student leaves the School in July 2000. The enquiry is retained for 6 years from July 2000 and then destroyed in August 2006	Limitations Act 1980	Aug-15	Electronic	Shared drive UnitE	Restricted

#### 14.4 Student Assessment

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
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14.4.1	Examination board minutes and papers	Includes visitor examination reports	Faculty offices	Six years from end of the academic year to which the examination board relates	Destroy at end of the retention period	Records of an examination board relating to examinations held in the 2007/08 academic year would be retained for seven years from August 2008, and destroyed in August 2015	Limitations Act 1980	Aug-15	Electronic	Shared drive	Restricted
14.4.2	Assessed student work: coursework, essays, taught Master's dissertations	Comments and marks cover sheets	Faculty offices	One year from submission of essay	Destroy at end of the retention period	Undergraduate essays from the 2008/09 academic year would be retained for one year from August 2009, and destroyed in August 2010	Jisc	Aug-15	Paper and electronic	Onsite Turnitin (BLE/Moodle third party plug in application) Off-site Shared drive	Restricted
14.4.3	One to one and tailored tuition student files	Student registration forms, correspondence with students, pre-course assessments, tests, evaluations, attendance sheets etc	Language Centre, Faculty Offices	Six years from end of the academic year in which the course ends	Destroy at end of the retention period	A teacher's folder relating to a scheduled course which ran in the 2005/06 academic year would be retained for six years from August 2006, and destroyed in August 2012	Limitations Act 1980	Feb-09	Paper	Onsite	Restricted
14.4.4	Assessed student work: exam scripts	Comments sheets, exam sheets	Registry: Examinations Faculty offices	One year from end of the academic year to which the script relates	Destroy at end of the retention period	Exam scripts from the 2008/09 academic year would be retained for one year from August 2009, and destroyed in August 2010	Jisc	Aug-15	Paper and elec	Onsite Off-site Shared drive	Restricted
14.4.5	Thesis (Hard copy) and deposit agreement		Library	Retained permanently	N/A	A thesis is completed in September 2015. The student is awarded in December 2015. The thesis is then transferred to the Library in January 2016 and any copies are destroyed	Historical value	Jun-14	Paper	Library	Unrestricted/ Restricted: see individual thesis for guidance on access

14.4.6	Thesis and deposit agreement (electronic copy)		Library	Retain as long as required for reference	Destroy at end of retention period	N/A	Operational need	Sep-14	Electronic	CD	Unrestricted/ Restricted: see individual thesis for guidance on access
14.4.7	Examination mark sheets		Registry: Examinations Faculty offices	One year from the date of the examination	Destroy at end of the retention period	A student undertakes an exam in May 2012. The examination mark sheet is retained for one year from June 2012 and destroyed in June 2013	Jisc	Aug-15	Paper and electronic	On site Shared drive	Restricted
14.4.8	Exam papers		Library, Special Collections	Retain permanently	N/A	N/A	Historical value	Jun-14	Paper and electronic	Pre-1997 papers (currently 1932-1968): Special Collections Post 1997 exam papers: SharePoint and shared drive	Internal only: SOAS Staff and Students 1932-1968: Unrestricted (accessible in Special Collections)
14.4.9	External examiners' reports		Registry: PGR, Registry: Examinations	Seven years from end of the academic year to which the report relates	Destroy at end of the retention period	External examiners' reports relating to the 2008/09 academic year would be retained for seven years from 1 August 2009, and destroyed in August 2016	Jisc	Jan-14	Electronic	Shared drive/ Moodle	Restricted
14.4.10	External examiner nomination forms		Registry: PGR, Registry: Examinations	One year from the termination of employment	Destroy at end of the retention period	An external examiner's contracted is terminated in August 2013. The initial nomination form is retained for one year from September 2013 and then destroyed in September 2014	Jisc	Jan-14	Electronic	Google mail Shared drive	Restricted



14.4.11	Eligibility to work in the UK documents	Examiners eligibility to work in the UK documents	Registry: PGR	Three years from termination of employment	Destroy at end of the retention period	An external examiner is employed until 31 July 2012. The eligibility to work in the UK documents should be kept for 3 years from 31 July 2012 and then destroyed after 01 August 2015.	Home office requirement	Jan-14	Paper and electronic	Onsite Shared drive	Restricted
14.4.12	External examiners: correspondence	Correspondence on administrative matters	Registry: PGR, Registry: Examinations	One year from the end of the current academic year to which it relates	Destroy at end of the retention period	There is correspondence sent to external examiners in March 2013. This is retained for one year from October 2013 and destroyed in October 2014	Jisc	Jan-14	Electronic	Google mail	Restricted
14.4.13	Examination invigilators application forms		Registry: Examinations	One year from the end of the current academic year to which it relates	Destroy at end of the retention period	A person applies to be an examination invigilator in the 2012/2013 academic year. The application form is then retained for one year from October 2013 and destroyed in October 2014	Jisc	Jan-14	Electronic and paper	Google mail On site	Restricted
14.4.14	Examiner Roll		Registry: PGR	Retained Permanently	N/A	N/A	Operational need	Jan-14	Electronic	Shared drive	Restricted
14.4.15	External examiner training guidance		Registry: Examinations	Until superseded	N/A	The external examiner training guidance is amended in July 2012. The old version is overwritten. The new version will remain in place until further amendments are carried out	Operational need	Jan-14	Electronic	Shared drive	Unrestricted

14.4.16	Examination Timetable: supporting documentation	Includes room bookings	Registry: Examinations	One year from the end of the current academic year	Destroy at end of the retention period	An examination timetable for the 2008/2009 academic year is retained for one year from August 2009. The timetable and supporting documentation is retained for one year from August 2009 and then destroyed in August 2010	Jisc	Jan-14	Electronic and paper	Syllabus Off-site Onsite Shared drive Googlemail	Internal only: SOAS Staff and Students
14.4.17	Room bookings		Registry: Examinations Estates and Facilities: Timetable	One year from the end of the current academic year	Destroy at end of the retention period	An examination timetable for the 2008/2009 academic year is retained for one year from August 2009. The timetable and supporting documentation is retained for one year from August 2009 and then destroyed in August 2010	Jisc	Jan-14	Electronic and paper	Syllabus Off-site Onsite Shared drive Googlemail	Internal only: SOAS Staff and Students
14.4.18	Pass Lists		Registry: Examinations	Retained permanently	N/A	N/A	Historical value	Jan-14	Electronic and paper	Paper (pre-1998) sent off site Shared drive (post 1998)	Restricted
14.4.19	Student Examination Appeals		Registry: PGR, Registry: Examinations	Six years from the last action on case	Destroy at end of the retention period	A student appeals against an exam result in July 2009. The case is concluded in July 2010. The records are retained for 6 years from August 2010 and destroyed in August 2016	Limitations Act 1980	Jan-14	Electronic and paper	Off-site Google mail Shared drive	Restricted
14.4.20	Student Requests for deferrals (UnitE)		Registry: Examinations	Retain permanently as part of core student record	N/A	N/A	In-house Procedure	Jan-14	Electronic	UnitE Google mail	Restricted
14.4.21	Student Requests for deferrals (hard copy)		Registry: Examinations	Three years from end of the current academic year	Destroy at end of retention period	Student requests a deferral in January 2008. The hard copy is retained for 3 years from August 2008 and destroyed in August 2011	Core Record held on UnitE	Jan-14	Paper	Once on core student record, paper can be sent off site	Restricted

14.4.22	Assessment and Examinations Offences panel: case files		Registry: Examinations	Six years from the last action on case	Destroy at end of the retention period	A student disciplinary case is completed in October 2013. The file will be retained for 6 years from November 2013 and destroyed in November 2019	Limitations Act 1980	Jan-14	Paper	Off site	Restricted
14.4.23	Examinations: Special Arrangements	Medical assessment for special arrangements	Registry: Examinations, Student Welfare Office	One year from the completion of student's programme	Destroy at end of the retention period	A student completes their programme in July 2015. The examinations special arrangements from will be retained for one year from August 2015 and destroyed in August 2016	Jisc	Jan-14	Paper	On site Google mail	Restricted
14.4.24	Pass lists compilation		Registry: Examinations	One year from the end of the current academic year to which it relates	Destroy at end of the retention period	A pass list is compiled for the 2009/2010 academic year. The records documenting the compilation of the pass lists will be kept for one year from August 2010 and destroyed in August 2011	Jisc	Jan-14	Electronic and paper	Off-site Shared drive	Restricted
14.4.25	Examination attendance and mitigating circumstances records	For exams and coursework	Faculty offices	One year from the end of the current academic year	Destroy at end of the retention period	A report handling a mitigating circumstance relates to the 2010-2011 academic year. It is retained for 1 year from October 2011 and then can be destroyed in October 2012	Jisc	Aug-15	Paper and electronic	Off-site Onsite Shared Drive Googlemail	Restricted
14.4.26	CISD Year Book		CISD	Retain permanently	N/A	N/A	Historical Value	Aug-15	Electronic and paper	Onsite Shared drive	Unrestricted

**14.5 Student Academic Award Administration**

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
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14.5.1	Transcript requests		Registry: Examinations	One year from the last action on request	Destroy at end of the retention period	A student requests a transcript on 25 October 2012. The request is retained for one year from 26 October 2012 and destroyed in November 2013	Jisc	Jan-14	Electronic	Googlemail	Restricted
14.5.2	Notification of awards to students	Issue of certificates, confirmation of degree	Registry: Student Support and Records	One year from notification of award	Destroy at end of the retention period	An email is sent to a student on 4 July 2011 notifying them of their results. The email is retained for 1 year from 4 July 2011 and destroyed in August 2012	Jisc	Jan-14	Electronic and paper	Googlemail Onsite	Restricted
14.5.3	Graduation ceremonies organisation and administration		Registry: Student Support and Records Marketing	One year from completion of ceremony	Send to Special Collections for review for archival value	The graduation ceremony takes place between 13-17 July 2013. The records documenting the organisation and administration of the graduation ceremony are retained for 1 year from 17 July 2013. On 18 July 2014, the documents are sent to the Special Collections for review and are appraised by the Special Collections for archival value	Jisc	Jan-14	Paper and electronic	Off-site Shared drive	Restricted
14.5.4	Honorary award event organisation and administration		External Relations	One year the end of the year of the conferment of award	Destroy at end of retention period	The award is given in July 2014. The records of the event organisation are retained for 1 year from August 2014 and destroyed after August 2015	Jisc	Jan-15	Electronic	Googlemail	Restricted

#### 14.6 Student Finance

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
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14.6.1	Funding and Scholarship Files	Donor agreements for scholarships	Finance: Administration Registry: Fees and Scholarship	Retain permanently	N/A	N/A	Historical value/operational need	Jan-14	Paper and electronic	Onsite Shared drive	Restricted
14.6.2	Fee setting	e.g. Offer for Fair Access	Registry: Fees and Scholarship Finance	Five years from the end of the calendar year to which it relates	Destroy at end of retention period	Records relating to fee setting within the 2001/2002 financial year are kept for 5 years from December 2002. The records are destroyed in January 2008	Jisc	Jan-14	Paper and electronic	Shared drive Onsite	Restricted
14.6.3	Fee Status Appeals	Application for reassessment and accompanying evidence	Registry: Fees and Scholarship	Six years from when the student terminates their relationship with the School	Destroy at end of retention period	A student graduates in July 2014. The records are retained for 6 years from July 2014 and will be destroyed in August 2020	Limitations Act 1980	Aug-15	Paper and electronic	Onsite UnitE Shared drive	Restricted
14.6.4	Scholarship Award Holders	Scholarships, bursaries, student enterprise funding, student funding competition applications, successful applications, Arts and Humanities Faculty Office	Registry: Fees and Scholarship, Academic Development: widening and Participation Student Enterprise	Six years from end of the academic year in which processing of the application was completed	Destroy at end of the retention period	Successful scholarship applications processed in 2007/08 would be retained for 6 years from 1 October 2008, and destroyed in October 2014	Limitations Act 1980	Jan-14	Paper and electronic	Shared Drive Googlemail Onsite	Restricted
14.6.5	Student funding applications: successful applications (UnitE)	Scholarships, bursaries etc	Registry: Fees and Scholarship, Academic Development: widening and Participation	Retained permanently as part of core student record	N/A	N/A	In-house procedure	Jan-14	Electronic	UnitE	Restricted
14.6.6	Student funding applications: unsuccessful applications	Scholarships, bursaries	Registry: Fees and Scholarship, Academic Development: widening and Participation Faculty offices	Six months from end of the month in which the application was decided	Destroy at end of the retention period	The a decision is made regarding the applications for a scholarship in March 2008. Unsuccessful applications would be retained for six months from 1 April 2008 and destroyed in October 2008.	Operational need	Aug-15	Paper and elec	Shared Drive Googlemail Onsite	Restricted

14.6.7	Access to Learning Fund applications, Hardship Fund applications		Student Welfare Office	Six years from end of the academic year to which application relates	Destroy at end of retention period	Hardship Fund applications from 2007/08 would be retained for 6 years from 1 October 2008, and destroyed in October 2014	Limitations Act 1980	Aug-15	Paper	Onsite Off-site	Restricted
14.6.8	Debtors Listing and non-financial records		Registry: Fees and Scholarship	Information on individual debtors to be retained as part of core student record until debt has been resolved	Destroy at the end of the retention period	A student pays their outstanding debt on 01 May 2011. The information on UnitE regarding the debt and email correspondence will be destroyed on 02 May 2011	Data Protection Act	Jan-14	Electronic	UnitE Email	Restricted
14.6.9	Remissions of fees and waivers-successful applications	Including confirmation of online payment receipts	Registry: Fees and Scholarship Language Centre	Six years from the outcome of the application	Destroy at the end of the retention period	The remission of fees application is successful in September 2010. The Remission of fees record is retained for 6 years from September 2010 and is destroyed after October 2016	Limitations Act 1980	Aug-15	Paper and electronic	Onsite Googlemail	Restricted
14.6.10	Remissions of fees and waivers-unsuccessful applications		Registry: Fees and Scholarship	One year from rejection of the application	Destroy at the end of the retention period	The remission of fees application is unsuccessful in September 2010. The Remission of fees record is retained for 1 year from September 2010 and is destroyed after October 2011	Jisc	Aug-15	Paper	Onsite	Restricted
14.6.11	Remission of fees and waivers: UnitE		Registry: Fees and Scholarship	Retained permanently	N/A	N/A	In-house procedure	Jan-14	Electronic	UnitE	Restricted

14.6.12	US loans documentation		Registry: Fees and Scholarship	Six years from the end of the financial year in which generated or until after an audit compliance confirmed for that year by US Education Department, whichever is latest	Destroy at the end of the retention period	The US loan documentation relates to the 2001/2002 financial year but a US audit does not occur until September 2010. The documentation is retained until after completion of the US audit in November 2010 and then destroyed	UK Financial Regulations and US Financial and Department of Education regulations	Jan-14	Paper and electronic	Onsite	Restricted
14.6.13	Tier 1 (Graduate Entrepreneur): successful visa sponsorship records		Registry: Student Support and Records	Six years from end of the financial year in which the student is awarded the sponsorship	Destroy at end of the retention period	A student is awarded a Tier 1 Graduate Entrepreneur sponsorship in September 2011. The file is retained for six years from August 2012 and destroyed in July 2018	Home Office Requirement/ Limitations Act 1980	Jan-14	Paper	Off-site Onsite	Restricted
14.6.14	Student Loan Company (SLC): approved funding letters		Registry: Fees and Scholarship	Retained until the end of the academic year to which it relates	Destroy at the end of the retention period	The SLC letter relates to the 2000/2001 academic year. The SLC letter is kept until October 2001 and then destroyed	SLC hold the primary record, operational need	Jan-14	Paper and electronic	SLC online system Onsite	Restricted
14.6.15	Fee Schedule		Registry: Fees and Scholarship	Retained Permanently	N/A	N/A		Jan-14	Electronic	Shared drive	Restricted
14.6.16	Prize awards: nominations, notification of award and prizes		Faculty offices	Five years from the end of the current year	Destroy at end of retention period	The prizes are awarded in January 2001. The records are maintained for 5 years from December 2001 and then destroyed in January 2007	Jisc	Oct-14	Paper	Off-site	Restricted
14.6.17	Prize winners list		Faculty offices	Whilst prize is awarded	Transferr to Special Collections for historical appraisal	N/A	Historical value	Oct-14	Electronic	SOAS website	Unrestricted

14.6.18	Award of fellowships		Centre and Programmes Office	Six years from the end of the financial year to which it relates	Destroy at end of retention period	The fellowship is awarded in June 2008. The records are retained for 6 years from August 2008 and then destroyed after August 2014	Limitations Act 1980	Feb-15	Paper	Onsite	Restricted
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#### 14.7 Student Relations Management

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
14.7.1	Student Survey results: summaries and analyses of responses		Academic Development: Learning and Development	Five years from completion of survey	Destroy at end of retention period	The survey is completed in July 2014. The records are maintained for 5 years from August 2014 and then destroyed in August 2019	Jisc	Jul-14	Electronic	Shared drive	Restricted

### 15. Student Services

#### 15.1 Student Service Operations Management

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
15.1.1	Careers Statement of Service		Careers Service	Three years from when superseded	Destroy at end of retention period	The statement of service is superseded in August 2011. The old version is retained for 3 years from September 2011 and destroyed after September 2014	Jisc	Mar-14	Paper and electronic	Onsite Shared drive SOAS website	Unrestricted
15.1.2	Student services: Guidance		Academic Development: Learning and Development Student Enterprise	Retain until superseded	Destroy at end of retention period	N/A	Jisc/Operational need	Jul-14	Electronic	SOAS website BLE Shared Drive	Unrestricted
15.1.3	Student enquiries about a student service		Careers Service, Academic Development: Learning and Development	Retain for one year from the last action on the enquiry	Destroy at end of retention period	The last action on an enquiry is on 3 June 2000. The enquiry is retained for 1 year from 4 June 2000 and then destroyed after 4 June 2001	Jisc	Mar-14	Electronic	Googlemail	Restricted



15.1.4	Student Services individual workshops and events feedback forms		Careers Service, Academic Development: Learning and Development	Completion of analysis of feedback	Destroy at end of retention period	N/A	Jisc	Mar-14	Paper and electronic	Onsite Email Interface Shared drive Google drive	Restricted
15.1.5	Events register and sign-up sheets		Careers Service, Academic Development: Learning and Development	One year from date of event	Destroy at end of retention period	The event is on 3 December 1999. The sign up sheets are retained for 1 year from 4 December 1999 and destroyed after 4 December 2000	Jisc	Mar-14	Electronic	Google drive Shared drive	Internal only: SOAS staff and students
15.1.6	Deposit receipt for events		Careers Service	Retain until the deposit is returned	Destroy at end of retention period	N/A	Operational need	Mar-14	Paper	Onsite	Restricted
15.1.7	Student services: Analysis of responses of feedback		Academic Development: Learning and Development	Three years from the end of the calendar year to which the analysis relates	Review and either extend the review date, destroy or retain permanently	The analysis relates to an event in July 2000. The analysis is retained for 3 years from August 2000 and then reviewed in August 2003. The analysis is then either destroyed, retained permanently or the review date is extended depending on operational need	Jisc	Jul-14	Electronic	Shared drive	Restricted
15.1.8	Student services workshops and events material		Careers Service	Retain until superseded	Transfer two of each item to the Special Collections for further appraisal, destroy the rest.	N/A	Historical Value	Mar-14	Paper and electronic	Onsite Shared drive	Unrestricted
15.1.9	Volunteer of the Year Award: recipients and organisations		Careers Service	Retain permanently	N/A	N/A	Operational need	Mar-14	Electronic	Shared drive	Unrestricted

15.1.10	Student Services Statistics		Careers Service, Academic Development: Learning and Development	Three years from the end of the financial year in which generated	Destroy at end of retention period	The statistics are produced in March 2000. The statistics will be retained for 3 years from July 2000 and then destroyed in August 2003	Jisc	Mar-14	Electronic	Shared drive	Unrestricted
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#### 15.2 Student Services Customer Relations Management

	<b>Record category</b>	<b>Examples of record category</b>	<b>Department</b>	<b>Retention period</b>	<b>Disposal action</b>	<b>Example</b>	<b>Authority</b>	<b>Added/ Amended</b>	<b>Format</b>	<b>Storage</b>	<b>Level of Restriction</b>
15.2.1	Student Service guidance and procedures	advice and guidance to individual students	Careers Service, Academic Development: Learning and Development Student Enterprise	Three years from end of the academic year to which the record relate	Destroy at end of retention period	Records documenting careers advice in 2006/07 would be retained for 3 years from 1 October 2007, and destroyed in October 2010	Jisc	Mar-14	Paper and electronic	Onsite Interface (legacy only) Google drive Google mail Shared drive	Restricted
15.2.2	Student Welfare Office: Client records	Including Finance and Immigration case notes	Student Welfare Office	Six years from end of the academic year to which the record relate	Destroy at end of retention period	Records documenting assistance provided to students in 2006/07 would be retained for 6 years from 1 October 2007, and destroyed in October 2013	OISC Code of standards/Limitations Act 1980	Jan-14	Paper and electronic	Shared drive File Manager Pro Off-site Onsite	Restricted
15.2.3	Counselling: Client records		Counselling Service	Six years from end of the calendar year in which the relationship with client ends	Destroy at end of retention period	A client's use of the Counselling Service ceases in 2006. The client's records are retained for six years from 1 January 2007, and destroyed in January 2013	Limitations Act 1980	Jan-14	Paper and electronic	Shared drive File Manager Pro Onsite	Restricted

15.2.4	Disability Files		Student Welfare Office	Six years from end of the academic year in which the student completed	Destroy at end of retention period	A student completes in July 2003. The disability file is kept for 6 years from October 2003 and then destroyed in October 2009	Limitations Act 1980	Jan-14	Paper and electronic	Shared drive Onsite Off-site	Restricted
15.2.5	Practice aptitude test results		Careers Service	One year from the date of test results	Destroy at end of retention period	The results are sent to the student on 12 May 2003. The test results are then maintained for 1 year from 12 May 2003 and then destroyed after 13 May 2004	Operational need	Mar-14	Electronic	Googlemail	Restricted

\*\*ResourceLink is hosted by Northgate Arinso. This is backed up off-site on a daily basis. Daily back-ups are retained for 12 weeks and monthly back-ups are retained for 1 year

\*Agresso is hosted on SOAS servers. Daily back-ups are retained for one week. A weekly back-up is retained for one month and a monthly back-up is retained for one year









See separate  
list for details of  
which  
department are  
responsible for  
which  
committees

































































































































































































