

Policy and Schedule for Data & Records Retention

Institute for Optimum Nutrition

This records retention schedule provides generic guidance on the retention of common records generated by the Institute for Optimum Nutrition (ION) in the course of its normal work.

The following template should be viewed as a guide in determining the retention periods for particular document types. The retention periods noted in the template are largely derived from JISC best-practice documents:

(<http://www.jiscinfonet.ac.uk/infokits/records-management>

<http://www.jiscinfonet.ac.uk/partnerships/records-retention-he>)

Although in some cases the suggested retention periods have been adjusted to fit ION's requirements.

Departments and business groups will use this template to inform their local decision making but may not adhere rigidly to the template schedule. For example, retention periods may vary from the template where there are particular legislative/statutory requirements.

Policy and Schedule for Data & Records Retention		
Document Type	Activity Type	Retention Period
Records documenting the institution's governance arrangements.	Records documenting information that defines the governance arrangements of the organisation, as well as those documenting the business of statutory committees (agenda, minutes / supporting papers)	Permanent
Records documenting the institution's relationships and responsibilities to statutory bodies and in meeting its legal responsibilities.	Records documenting information that: 1. The institution is legally obliged to provide to the funding and statutory bodies 2. Underpin the institution's arrangements in meeting legislative requirements	Permanent

	(e.g. health and safety strategies / equality and diversity policies)	
Core student data held in student records system.	Personal identifiers and final ION award details (including confirmed module result data). Final awards issued by UoP details are kept with them and not ION.	Completion of award + 50 years.
Records documenting the institution's strategic and corporate plans and those defining relationships with external partners.	All corporate / strategic level documents (both at institutional and functional level) for example: <ul style="list-style-type: none"> • Strategic Plan • Research / Teaching and Learning • Strategy • Risk /Performance Management Plans • Agreements with Accrediting and Regulatory Bodies • Details of UK PCDL registration • Agreements with collaborative partners. 	Superseded + 10 years then review for archiving value.
Records documenting the institution's regulations and policies.	Records documenting the establishment of all key policies and regulations, including those related to staff and student behaviour. For example: <ul style="list-style-type: none"> • Academic Regulations • HR Policies 	Superseded + 10 years then review for archiving value.
Records documenting the handling of enquiries made by those external to the institution (statutory).	Records documenting enquiries, complaints and requests from individuals/organisations. For example: <ul style="list-style-type: none"> • Subject access requests 	Last action + 6 years, then destroy.
Records documenting relationships with collaborative partners.	Records relating to cooperative partnerships and collaborative arrangements with other institutions.	End of partnership + 6 years, then review for archiving value.
Records documenting the organisation's financial management arrangements.	Records detailing Institution's accounts, payroll handling, procurement, tax arrangements, investments, insurance management etc.	End of current financial year + 6 years, then review for archiving value.
Records documenting assessment and non-assessment related advice given to students and decisions made about a student, including documents that support the decision making.	Records documenting the conduct and results of: <ul style="list-style-type: none"> • Course and Award Boards of Examiners • Disciplinary hearings • Academic appeals / complaints • Notes from 'advisory' meetings with module coordinators • Assessment offence hearings • Assessment feedback documents (not the assessment itself) 	Last action on case, or formal confirmation of outcome by appropriate body or, completion of award + 6 years, then destroy.

	<ul style="list-style-type: none"> Admissions documentation 	
Records documenting the institution's procedural arrangements for its operations.	<p>Records documenting the establishment of key operating procedures. For example:</p> <ul style="list-style-type: none"> Records documenting the conduct of the business of a non-statutory committee (agenda, minutes, supporting documents) Procedures for the validation and review of taught programmes are within the regulations handbook 	Superseded + 5 years then review for archiving value. Annual review of taught programs with UoP
Records documenting the review, analysis, monitoring and performance of operations.	<p>Records documenting the establishment and use of activities used to monitor the impact or measure the performance of particular activities. For example:</p> <ul style="list-style-type: none"> Customer Satisfaction Surveys Performance Management Reviews Retention analysis <p>NB: If data not anonymised then it must meet the requirements set-out under DPA 1998.</p>	Current Year + 5 years then review for archiving value.
Records documenting the handling of non-statutory communications with those external to the organisation.	<p>Records documenting general communications with those external to the organisation and the internal handling of related responses. For example:</p> <ul style="list-style-type: none"> Press release Marketing campaigns 	Last Action + 2 years, then review for archival value.
Records documenting the planning and completion of specifically defined activities, and the completion of day-to-day administrative tasks.	<p>Non-strategic / non-sensitive administrative information (not required to be retained for external reporting purposes) documenting the design, organisation, operation and summary results of a specific set of activities for a defined end point:</p> <ul style="list-style-type: none"> Induction Programmes Open Days Examinations Award Ceremonies 	Completion of activity +1 year, then destroy.
Records documenting membership of professional associations and maintenance of accreditation.	<p>Records documenting the establishment of corporate or individual (institutionally-funded) membership of:</p> <ul style="list-style-type: none"> Professional associations Institution's official representation on committees of other organisations in the sector Attainment and maintenance of accreditation under an independent quality management scheme. 	Termination of membership + 1 year, then destroy.
		Currently being kept

Assessment	Samples of assessed work include: <ul style="list-style-type: none"> • Coursework • Examination scripts • Major/final year projects (samples should comprise good, intermediate, bare-pass and fails) 	Current Academic year +5 years, then destroy.
Records documenting clinic client activity for adult clients	Client files submitted by student practitioners and/or clinic supervisors, including: <ul style="list-style-type: none"> • Pre-attendance questionnaires • Medical records • Outcome assessments • Consultation feedback forms 	Last Action + 8 years, then destroy.
Records documenting clinic client activity for clients who are children.	Client files submitted by student practitioners and/or clinic supervisors, including: <ul style="list-style-type: none"> • Pre-attendance questionnaires • Medical records • Outcome assessments • Consultation feedback forms 	Until the child reaches their 25th birthday and then destroy
*At the end of the specified retention period, departments are required to record what has happened to a document (retained for archival value or destroyed) and when the action happened.		

Records which may be routinely destroyed

As a rule, the following types of records have no significant operational, informational or evidential value. They can therefore be destroyed as soon as they have served their primary purpose.

Examples

- Announcements and notices of meetings and other events, and notifications of acceptance or apologies;
- Requests for stock information such as maps and travel directions, brochures etc;
- Requests for, and confirmations of, reservations for internal services (e.g. meeting rooms) where no internal charges are made;
- Requests for, and confirmations of, reservations with third parties (e.g. travel, hotel accommodation, restaurants) when invoices have been received;
- Transmission documents: letters, FAX cover sheets, e-mail messages, routing slips, compliment slips and similar items which accompany documents but do not add any value to them;
- Superseded address lists, distribution lists etc.;
- Duplicate documents such as: 'CC' and 'FYI' copies;
- Unaltered drafts;
- 'Snapshot' printouts or extracts from databases;
- 'Day Files' (chronological copies of correspondence);
- Personal diaries, address books etc.;
- Working papers, where the results have been written into an official document and which are not required to support it;

- Stocks of in-house publications which are obsolete, superseded, or otherwise useless e.g. magazines, marketing materials, prospectuses, catalogues, manuals, directories, forms, and other material produced for wide distribution