RECORDS RETENTION SCHEDULE

UK Data Archive

Contents

Scope

This schedule sets out the retention periods for specified business records produced and held by the UK Data Archive. The schedule does not cover business records relating to the Archive which are held centrally by the University of Essex or by other departments of the University.

The schedule is in compliance with the Records Management Framework and Implementation section of the University's *Records Management Policy Statement*. It forms part of the Archive's formal records management procedures, setting out how long each set of records is retained. It forms part of the collection of retention schedules issued by each of the University's departments and is available on the University website.

The Archive's Governance Oversight Committee (GOC) monitors the sufficiency, application and effectiveness of the schedule. The schedule is reviewed by GOC annually.

The overarching aim of this schedule is to ensure effective information management, and particularly legal compliance and the protection of personal, financial and commercially sensitive information. Record retention periods depend on the following criteria:

▶   Legal requirements. The Archive must comply with applicable legislation, including, for example, the Data Protection Acts, the General Data Protection Regulation and the Statistics and Registration Service Act 2007.

▶   Contractual requirements. The Archive is not a legal entity but is bound by those contracts entered into by the University of Essex which apply to the work and services of the Archive.

▶   Management of the service. The Archive is required to ensure effective maintenance of the information necessary for the delivery of its services, and the provision of data to researchers. This includes records of decisions and activities, as well as evidence of compliance with applicable standards, including ISO 27001:2013.

▶   Requirements placed upon us by data controllers. The Archive needs to preserve evidence of the requirements placed upon it by those providing data for dissemination and its compliance with those requirements. These are evidenced in such records as licences, contracts and audit reports.

Personal data must not be retained for longer than is necessary for the purposes for which they are processed. Financial information will be retained for the minimum retention periods set out here.

Business information records not covered here should be disposed of as soon as possible after the expiry of their usefulness and validity.

Business information and the Archive's data collection are held in a variety of formats across a number of locations and products.

Acronyms

The following acronyms are used in this document:

- **CFY -** Current Financial Year (July to August)

- **CCY -** Current Calendar Year (January to December)

- **EofA -** End of Applicability (the point at which a record, e.g. a licence or contract, is no longer effective)

- **TofR -** Termination of Relationship (the point at which someone stops being a user, student or member of staff)

1. The Schedule

Item	Retention period (numbers refer to years unless otherwise indicated)	Notes
Data collections		
Data collections and data products	EofA	Retention of specific data collections and data products will be reviewed in line with the data appraisal, selection, retention, and destruction policies of the Archive. Depositors may decide to withdraw their data from the Archive's collection.
Licences and legal documentation		
Signed Licences	EoA+6	Applicability refers to the period in which the licence is effective. (e.g. for as long as we hold the data to which it relates).
Licence versions	EofA+6	
Signed Contracts	EofA+6	
Service administration		
Registered user individual records	TofR+110	TofR is equivalent to end of registration. The retention period reflects the need to evidence agreement to licence requirements for the lifetime of a user.
User individual records where no ongoing relationship	TofR+1	This would apply for example where registration was not completed.
JIRA issues	EofA+6	End of applicability for JIRA issues is closure date of the issue or, if within a project, closure date of the project.
Contact lists (Marketing etc).	EofA	No list of contacts should be retained beyond the applicability of the purpose for which it was created and to which subscribers have consented. All subscribers should have the ability to have themselves removed from such lists at any time. Where lists are retained over time the contacts must be reviewed and their preferences confirmed.
Outreach and training activity		
Attendance lists	CCY+3 months	
Test papers	EofA	

Test results	EofA	If possible this should only be a record of pass/fail
Staff administration		
Staff Files (permanent staff)	TofR+6	
Staff files (temporary staff)	TofR+1	
Records of hours worked by temporary staff or permanent staff overtime	CFY+1	
Non-disclosure agreements	TofR+110	The retention period reflects the need to evidence agreement to non-disclosure requirements for the lifetime of the individual.
Security fob forms	TofR+1	
Annual reviews	Kept on the relevant staff file (TofR+6) or if separately (e.g. in Sharepoint) then CCY+6	
Staff contact details	TofR	
Timesheets	EofA	Applicability changes dependent on the audit requirements of the University and funders.
Archive administration		
Policy Group Minutes	Permanently	These are held permanently as both a decision-making record and for historical record.
Functional Director Minutes	Permanently	These are held permanently as both a decision-making record and for historical record.
Information Management Security Group Minutes	Permanently	These are held permanently as both a decision-making record and for historical record.
Governance Oversight Committee Minutes	Permanently	These are held permanently as both a decision-making record and for historical record.
Departmental budget information not held on Agresso or by Payments	CFY+3	Invoices and expense claims should be sent to Payments where they are held for CFY+6
Approved Archive Policies, Strategies and Management Plans, and Procedures	Permanently	
Funder oversight meeting agendas and minutes	Permanently	

Projects and Funding		
Unsuccessful funding bids	CFY+6	
Successful funding awards	EofA+6	Unless otherwise required by funder. Note that contract letters are held by the University's Research and Enterprise Office.
Project documentation	EofA+6	This documentation may have extended applicability beyond the lifetime of the project. The project owner/manager should consider whether elements of documentation will be useful for future business development and should be retained even after deletion of the bulk of the project documentation.
Working Group documentation	EofA+6	This documentation may have extended applicability beyond the lifetime of the working group. The working group lead should consider whether elements of documentation will be useful for future business development and should be retained even after deletion of the bulk of the working group's documentation.
Audit administration		
ISO surveillance audit reports	CCY+6	
Archive internal audit reports	CCY+6	
Risk registers	CCY+6	
Crisis management plans and tests	CCY+6	
Office administration		
Visitor/Contractor signing-in books	CCY+1	
KPI reports	CCY+10	Returns are made to the University and to the ESRC (Researchfish) on an annual basis.
Safe room use records	EofA+6	Applicability would extend to the end of the user's project
Asset register	CCY+6	Note that yearly returns are made to the University of Essex Finance Department.

2. Deletions and destruction

An annual review of records will prompt destruction/deletion in line with Archive Requirements

and the University of Essex *University Records Disposal Policy: Manual Records*.

Deletion/destruction will be undertaken within 3 months of the end of the retention period.

Document Management

Access Limitations:	None
Maintainer:	David Hall, Standards and Security Manager
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Review period (months):	This document is reviewed by GOC every 12 months. If no changes are required a new version is not released.
Is related to:	University of Essex *Records Management Policy Statement* University of Essex *University Records Disposal Policy: Manual Records* *Records Management Policy* [CD088] *Document Management Procedures* [CD174]

Version History

Version	Notes	Last Amended
04.00	New version approved by PG and GOC.	2018-08-15
03.03	Changes suggested by Policy Group (PG) – expansion of information in Scope to provide governance context – including review by GOC - and criteria for setting retention periods.	2018-07-25
03.02	Amended to include criteria for establishing retention periods; to show reason for some retention periods and to show retention periods are in years unless otherwise indicated.	2018-07-23
03.01	Revised schedule to replace all previous versions.	2018-07-04
03.00	LJ: three approvals received from GOC. Document released.	2015-07-16
02.00	LBe: agreed by Governance Oversight Committee (GOC). Annual review, changes include minor edits and the inclusion of a new code for retention: Life of the Product.	2014-07-08
01.00	LBe: First release	2013-07-16