

Glasgow Caledonian University			
Records Retention Schedule	Generic – University-wide for Schools and Departments		
Where Departments and Schools have unique records, these will appear on individual RRSs			
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Code	Record series	Examples of records	Retention Trigger	Department Action	Records Centre (if used)	Retention Action (Total)	Notes/ Citation
FinG1	Expenditure of University resources	Delivery notes, AV forms etc and other items not held by Finance	End of financial year	Retain 1 financial year plus current year in the Department	5 years	Retain 6 years after the end of the financial year then shred/delete	Taxes Management Act 1970 c9; HMRC 700/21

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FinG2	Risk/Insurance	Risk Register, Business Continuity Plan	Superseded + 1 year	Retain in Department until superseded	n/a	Retain until 1 year after superseded then Shred/Delete	JISC
FinG3	Equipment warranty and leases	Warranty and guarantee paperwork/ Lease and hire agreements	Life of warranty/lease +2 years	Retain in Department	n/a	Shred/Delete	Business Requirements
FinG4	Equipment licences/instructions	Instruction manual	Disposal of equipment/end of licence	Retain in Department for lifetime of equipment/ licence	n/a	Shred/Delete	Business Requirements
FinG5	Expenditure of University resources (held by Finance Office)	Catering invoices, AV forms, credit card receipts, expenditure transfer, expenses claims, invoices , purchase order, supplier contracts over 50K, virement forms etc	End of financial year	Retain in Department for 1 year.	n/a	Shred/Delete departmental copy. Master held by Finance	Taxes Management Act 1970 c9; HMRC 700/21In practice held online in PECOS or Oracle (currently indefinitely)
FinG6	Tenders and Contracts	Tenders and contracts under £50K	End of Financial year	Retain in Department until contract expires then transfer to Records Centre	6 years from end of contract	Life of contract plus 6 years then shred/delete.	Procurement Regs

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FinG7	Tenders and Contracts	Record showing start and end dates, value and content for all contracts and tenders	Completion of tender process	Forward details to Procurement to be added to Contract Register	n/a	Held by Finance (Procurement)	Procurement Regs
FinG8	Credit card, till payments	Receipts, reconciliations for customer facing/income generation departments	Current year plus 1 year	Shred. Treasury retains till summaries, credit card summaries and banking advices	n/a	Current year plus 1 year in the department then shred/delete. Summaries held by Finance (Treasury)	Added by Treasury
FinG9	Research Project Accounts	Financial data, printout OFRS/spreadsheets	End of project.	Duplicate copies retained by department until end of project plus 2 years	n/a	Shred/Delete. Master copies held by Finance	
FinG10	Research Project	EU Projects only – non-Financial data (minutes, reports, correspondence)	End of project	Transfer to Finance Office for retention in line with funder	n/a	In Finance RRS	EU regulations
FinG11	Statistical documentation	Statistical documentation to monitor the income and expenditure of School/Department budgets	End of current financial year	Submit to Records store for 4 years	4 years	4 years the Shred/Delete	

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FinG12	Student debt	Documentation/ correspondence regarding collection of unpaid student fees	End of registered student relationship with institution	Submit to Records store for 6 years	6 years	Retain 6 years after end of registered student relationship then shred/delete	
FinG13	School Audits	Financial and Business Audits	Completion of action and no longer used for reference	Master submitted to Finance Office	n/a	In Finance Office Retention Schedule	
FinG14	Student debt documentation	Correspondence regarding collection of debt	End of registered student relationship	Retain 6 years once student leaves		Retain 6 years once student leaves then shred	
HRG1	Recruitment documentation	Internal authorisation for recruitment, post approval documentation	Keep until recruitment process is concluded	Once process is concluded return all paperwork to People Services	N/A	Master copy held by People Services	Should not be held locally
HRG2	Application forms and documents appointment pack	Interview notes, application forms, CVs etc	Keep until conclusion of Interview process	Return all paperwork to People Services immediately after interview process	N/A	Master copy held by People Services	Should not be held locally
HRG3	Agency staff	Invoices	6 months after date of invoice	Keep copies of invoices for 6 months after date of invoice then destroy/delete	N/A	Invoices to be coded, authorised and sent to accounts payable for payment. Master copies are	

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						held by the Finance Office	
HRG4	Performance Review	PDAR forms	Update PDAR Form onto HR Oracle, Employee Self Service (ESS) system each calendar year. Review discussions should take place between May and October	Once annual review discussion has been completed and final document agreed and uploaded destroy/delete	N/A	Master copy held by People Services on Oracle system	Should not be held locally
HRG5	Conduct, Complaints and Capability	Paperwork	Keep until investigation/hearing is concluded	Once investigation has concluded. All paperwork should be passed to People Services	N/A	Master copy held by People Services	Should not be held locally
HRG6	Absence (Staff)	Medical certificates, self-certification forms/ Occupational Health Reports, return to work meeting notes	Update record/item where appropriate on Oracle system	Record item in Oracle where appropriate then pass all original paperwork to People Services	N/A	Master copy held by People Services	Copies should not be held locally

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HRG7	Accident/First Aid/near miss records	Accident/Near Miss/First Aid forms, investigation reports and information relevant to investigation	Current year or closure of investigation (whichever is the latter) + 1 year	Destroy or delete once forwarded to Health and Safety	N/A	Master copy held by People Services	Should not be held locally SI 1995/3163 Regulation 7(3) SI 1993/2113 Regulation 2. The contents of records to be kept are specified in Schedule 4 of SI 1995/3163.
HRG8	Health and Safety audit	Audit reports and actions taken	On completion of audit report and actions	Completed actions sent to Health and Safety by e-mail then destroy/delete	N/A	Master copy held by People Services	Should not be held locally. JISC Retaining previous versions provides evidence of compliance and effective management of health and safety over time.

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HRG9	Local H & S Documentation	Risk Assessment, local Policy, Inspection Sheets, Action plan	Current academic year +1 year	Keep for current academic year then delete/destroy	N/A	Held locally within each School/Directorate/Department for current academic year plus 1 year	Should be held locally
HRG10	Equality and diversity monitoring data	School/Department staff profile information by protected characteristic	12 months (i.e. when superseded by new data)	Keep for 12 months after date of receipt then delete/destroy	N/A	Master copy held by People Services	The data can be used annually to inform School/Department Equality and Diversity Action Plans
HRG11	Equality Impact Assessment	Completed Equality Impact Assessment templates for School/Department policy/strategy/document	Duration policy or until superseded	Keep as part of policy/strategy/document. Once superseded keep for current year plus one year then delete/destroy	N/A	Held locally until policy is superseded plus one year	Can be held locally. This only changes if the policy is updated
HRG12	Display Screen Equipment Assessment (DSE) (Cardinus)	Display Screen Equipment Risk Assessment	Amendments automatically updated on completion of DSE Risk Assessment on Cardinus system	N/A	N/A	Master copy held by People Services	System can be accessed locally by designated administrators for action as and when required

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HRG13	Health & safety Information, instruction and training	Health and Safety training, information and instructions provided (move from previous column) eg Risk Assessment, Manual Handling, DSE Assessor etc	When superseded or on completion of training course	N/A	N/A	Master copy held by People Services	The data is held locally only for the purpose of managers tracking completion rates for their department
HRG14	Equality and Diversity training	Training completion records	Amendments automatically updated on completion of Equality and Diversity training on Marshalls system	N/A	N/A	Master copy held by People Services	The data is held locally only for the purpose of managers tracking completion rates for their department
FOIG1	FOI work	Responses to requests (sent to Information Compliance)	One year after creation	Delete	n/a	Retain 1 year then delete	Business Requirements. Master held by Governance
ExamsG1	Examination Question papers – post examination	Unseen Examination papers Question papers created	Within 2 months of the completion of each assessment diet.	An electronic copy of each examination paper is uploaded to GCU Learn. Where, for whatever reason, it	n/a	Current year + 6 years	Assessment Regulations 2014 Policy and Procedure for the Creation,

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				is not possible to convert all or part of an examination paper into an electronic document, then a paper copy shall be held in the School Office for the period of retention			Moderation and Administration of Formal Written Examinations 3.6
ExamsG2	Assessment Board papers	Minutes, confidential annexe, (excluding results which are held by Exams)	When no longer required for reference	Hold in Department or submit to Records Centre	5 years	Last action plus 6 years	
ExamsG3	Profiles	Profiles and student related Assessment Board records	Next Assessment Board of the same diet	Held on ISIS so paper copies should not be kept after one year.	n/a		Master will either be on ISIS or held by Exams. Should not be held locally
ExamsG4	Question papers – pre examination	Unseen Examination papers Question papers created	Records are securely delivered to the Registry Exams Office in line with the deadline. No copy to be retained by any	All other copies to be destroyed immediately .	n/a	Not retained locally	Regulations 2014 Policy and Procedure for the Creation, Moderation and Administration of Formal

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			member of staff other than those authorised.				Written Examinations 3.3
ExamsG5	Students' work (Some exemptions apply)	Examination Scripts, courseworks, assignments, dissertations	After second diet assessment board	Hold in department for reference where necessary	18 months minimum	Up to two years after Resit board (unless PSB regulations require a different retention period) See relevant School RRS for exemptions (eg some Engineering and some Nursing and some Vision Sciences).	Regulations 2014 Policy and Procedure for the Creation, Moderation and Administration of Formal Written Examinations Section 7. Material including coursework/ assignments/ dissertations may be retained within systems for the purpose of plagiarism checking/ prevention.

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ExamsG6	Assessment Board results	Signed Assessment results documentation Chair's Action sheets	After board	Shred duplicate copy after no more than -2 years	Original Submitted by Exams. School copies not accepted by the Records Centre	Retain for Archives. Closed for 80 years	
ExamsG7	Mitigating Circumstances MITS	Master MITS board records, MITS Forms and evidence , decision sheets, spreadsheet, notes, minutes, spreadsheet analysis	After MITS Boards	Held in School on system. Data sent to University's data analysis co-ordinator (Jackie Riley) immediately after MITS Board	n/a	10 years from date of MITS board (which covers end of registered relationship with student plus 6 years (so start date plus 4 years plus 6 years)	Further discussion to take place on this
ExamsG8	Assessment Board papers	General correspondence, e-mails re setting up of Assessment board, expenses , agenda	Next year's board of same diet	Shred	n/a	One year	
ExamsG9	Alternative Examination Arrangements	Correspondence relating to exams held elsewhere and	When no longer required for reference	Master forwarded to Exams. Copies shredded when no	n/a	Not held locally	

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		arrangements for extra time		longer required for reference.			
ExamsG10	Coursework/Assessment	Coursework and class test questions		Returned to students. Held in Turnitin	n/a	Not held locally	
ExamsG11	External Assessors	External Assessor reports, External Assessor Approval Forms	When no longer require for reference	Hold in department when required for reference then shred	n/a	Master held by Quality Enhancement and Development	
EstatesG1	Architect diagrams	Diagrams of School accommodation, plans	Completion of action	Master forwarded to Estates	n/a	Master held in Estates. Copy shredded	
QualG1	University Audits - ELIR	ELIR REPORTS	Completion of action and no longer used for reference	Shred	n/a	Original held Quality	
QualG2	All other Quality and approval documentation	Programme Documentation, approval reports, ELISR documentation,	When final documents are available	Masters held by Quality Enhancement and Development. Reference copy held by Department	Programme documentation to be forwarded by Quality Office to Records Centre for ten years	Forward to Archives after ten years	
MarkG1	Marketing	Programme Leaflets, posters, printed folders, information packs produced by the	Once a year at the end of the session prepare a box of samples for Archive	Forward the box of samples directly to Archives	n/a	Archive. Box of School specific samples only	

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		School (not through PDS)					
ProgG1	Graduation	Lists of graduands, list of prize winners	Until Graduation Ceremony is over + 1 year	Master in Graduation Unit. School copy shredded after a year	n/a	1 year for copy	
ProgG2	Module Student Handbooks, Programme Student Handbooks (excluding Master Programme Documentation)	Student versions of handbooks	When no longer required	Retained in School until superseded and all assessment attempts exhausted by students	n/a	Shred	Not required for Archives
ProgG3	Programme Board Records	Agenda and papers, minutes (Master copy), Annual Programme Analysis	When no longer required for reference		Current plus 5	Shred	
ProgG4	Absence (Student)	Student absence forms, Fit forms, medical certificates	End of Academic session	Filed by cohort. End relationship with cohort plus 6 years.	n/a	Shred or delete	
ProgG5	Attendance	Student attendance records and registers. Swipe card records. Registry records.	No action for School	End of relationship with student plus 6 years. Held in system by Registry	n/a electronic		UKVI – requires records to be kept for one year.

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							Not held locally by School
ProgG6	Coursework submission	Student coursework/ assessment submission records and lists	End of academic session	Current year + 1 year	n/a	1 year	
ProgG7	Student files	Excluding those specifically listed below for Nursing	End of period of study	End of registered student relationship on the programme plus 6	6 years	10 years from start of course	As student files are created when the student commences study, normal completion of the course plus 6 years is a retention period of 10 years.
ProgG8 See also SHLS RSS	Student files specifically named programmes	BA (Hons) Nursing Studies, Dip HE/Bachelor of Nursing (all fields) , BSc/BSc (Hons) Nursing Studies (all fields) plus LD/Child (Dual) for BSc (Hons Nursing Studies)	End of session and end of period of study for relevant cohort	Move to Records Centre	40 years from cohort start date	40 years	Only applicable to SHLSS

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ProgG9	Module Choice	Student completed Module choice forms	End of academic session	Current year plus one	n/a	1 year	
ProgG10	Student Records	Student Module Exemption Record, time-out, transfer	End of academic session	End of registered student relationship plus 6. Added to Student file	n/a	6 years from end of registration, 10 years from start	
ProgG11	Student/Staff Consultative Group, Subject Group	Confirmed minutes, agenda, papers – Master copies	When no longer required for reference	Current year plus 6	6 years	6 full years	
ProgG12	Coursework/Exam Scripts/Dissertations (unless mentioned below)	Courseworks, exam script for formal exams, taught course dissertations	After second diet assessment board	Transfer to Records Centre for minimum 18 months or retain in department	End of session plus 2 years	2 years maximum	Assessment Regulations
ProgG13	Coursework/Exam Scripts/Dissertations for programmes with specific PSB requirements (eg Engineering)	Courseworks, exam script for formal exams	After second diet assessment board	Transfer to Records Centre	End of session plus 6 years	6 years	PSB requirements
ProgG14	Samples of coursework/exams	Specific samples of courseworks, exam script for formal exams to be extracted from programme and retained as University record	After second diet assessment board	Transfer to Records Centre in a separate box as “samples” for future retention	End of session plus 2 years then transfer to Archives	Archives	New process

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ProgG15	Dissertations (excluding London below)	Specific samples of dissertations from taught undergraduate and postgraduate courses which will be used as good practice via the Library catalogue	After first assessment board	Electronic version to go to Library directly from School via DDIL dropbox (Digitised Dissertations webpage) with signed release form from student	n/a	Held in Library for 3 years then transferred to Archives or returned to School	New process
ProgG16	Dissertations – GCU London only	Hard copies of specific samples of dissertations from GCU London courses which will be used as good practice via the GCU London Library catalogue	After first assessment board	Hard copy sent by School to GCU London library	n/a	Held in Library for 3 years then transferred to Archives or returned to School	New process
ProgG17	Doctoral theses	PhD, Prof D	After viva exam	Bound and unbound Master supplied to Library by the Graduate School. Unbound copy transferred to British Library for digitisation. Bound copy held in Library in University Archive	n/a	Held by Library indefinitely in University Archives	School may retain a copy if requested from the student.

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ProgG18	Masters level theses	MPhil (research Masters)	After viva exam	Bound copy only supplied to Library by the Graduate School.	n/a	Held in the Library catalogue indefinitely	School may retain a copy if requested directly from the student.
ProgG19	Programme Recruitment Group, School Admissions Group	Agenda, Minutes papers	End of academic session	Held in department for current year plus 3	n/a	Shred or delete	
Committees G1	School Board and school boards sub Committees, School Management Team MT	Minutes, Agenda and papers	End of Session	Master copy current year + three in School	n/a	Current year plus three in School then shred (Master minutes are with Senate papers)	
Committees G2	Other Committee and Group papers	Departmental meetings, Subject Quality Groups	When no longer required for reference	Master copy current year plus	n/a	3 years then shred	
Student Procedures G1	Plagiarism, Appeals and Student complaints	Correspondence with student in connection with case, decision of panels	End of registered student relationship	Move to Records Store	Up to 6 years	6 years then shred	Master in Governance
Admissions G1	Admissions - successful	Successful applications and deferrals	End of registered student relationship			6 years then shred/delete	Further work to be carried out on PVG and Disclosure
Admissions G2	Admissions unsuccessful	Unsuccessful or those who decline offer	6 months after completion of admissions process	Retain for no longer than 1 year after completion of admissions process	-	Maximum one year then shred/delete	

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Learning & Teaching LT1	GCULearn module learning content	Learning materials/resources Assessment activities (tests, assignments etc.) Discussion board posts Assessment management record	End of academic year	Identification of all modules affected Deletion of modules at a system level Deletion notification sent to all Schools and affected users (at staff level)	n/a	Current academic year plus 7 years	

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