



UNIVERSITY OF
CAMBRIDGE

Estate Management

Records Retention & Disposal Schedule

Records Management

March 2018

Contents

Purpose of the Retention Schedule.....	- 4 -
Records which may be routinely destroyed.	- 5 -
Citations - Acts of Parliament (UK).....	- 6 -
ESTATE DEVELOPMENT	- 8 -
BUILDING MANAGEMENT	- 9 -
ENVIRONMENT	- 10 -
ESTATE STRATEGY/ POLICY	- 12 -
MAJOR PROJECTS	- 13 -
PERFORMANCE & STATISTICS	- 14 -
PLANNING	- 15 -
PROPERTY MANAGEMENT	- 16 -
RURAL ESTATE	- 17 -
CATERING SERVICES	- 18 -
FACILITIES MANAGEMENT	- 19 -
FLEET MANAGEMENT	- 20 -
RECORDS MANAGEMENT	- 21 -
ACCOMODATION SERVICE	- 22 -
BUILDING MAINTENANCE	- 23 -

ENERGY MANAGEMENT - 25 -

EQUIPMENT (Plant/Lifts/Fire Systems).....Last published 2012.....- 26 -

FIRE SAFETY.....Last published 2012 - 29 -

SECURITY - 30 -

The following categories can be found in the University Master Retention Schedule:

https://www.information-compliance.admin.cam.ac.uk/files/cambridge_master_records_retention_schedule.pdf

FINANCE	University Master Records Retention Schedule	Section 5
HEALTH & SAFETY	University Master Records Retention Schedule	Section 12
HR	University Master Records Retention Schedule	Section 6
ICT	University Master Records Retention Schedule	Section 11
MEETING RECORDS	University Master Records Retention Schedule	Section 1.2
PROCUREMENT	University Master Records Retention Schedule	Section 5.8

Purpose of the Retention Schedule

The retention schedule was compiled with guidance from the University's Data Protection Office.

The schedule documents the minimum length of time for which categories or series of records, regardless of their format, should be retained in order to meet business and operational needs, as well as complying with legal & regulatory requirements.

In addition it lists the methods of disposal i.e. recycle or secure shredding

The retention schedule will:-

- Provide a consistent controlled system for disposal of records
- Prevent records from being discarded prematurely
- Ensures information is not saved unnecessarily
- Help to save space & time

Using the schedule;

The schedule identifies the relevant function of EM & the categories of records within those functions. The schedule describes;

- The record series(type)
- Description of the record
- Recommended disposal date & method.

Records which require permanent retention will be securely held in EM'S archives which are stored off-site, these may be obtained, on request, & will be received within 24 hours.

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 information such as maps and travel directions, brochures etc.
- Superseded address lists, distribution lists etc.
- Duplicate documents such as:
 - 'CC' and 'FYI' copies
 - Unaltered drafts
 - 'Snapshot' printouts or extracts from databases
- Working papers, where the results have been written into an official document and which are not required for support

Citations - Acts of Parliament (UK)

DATE	TITLE
2005	The Regulatory Reform (Fire Safety) Order 2005
1980 c.58	Limitation Act 1980
1990	Environment Protection Act
2018	General Data Protection Regulation

Statutory Instruments

S.I 1977/500	Safety representatives
S.I 2015/51	Construction (Design & Management) Regulations 2015
S.I 2013/1471	Reporting injuries diseases and & dangerous occurrences Regulations 2013
S.I. 2001/3148	The Special Waste Regulations 2001
S.I. 1999 / 1877	The Fire Precautions (Workplace) Regulations 1999
S.I. 1998 / 2306	The Provision and Use of Work Equipment Regulations 1998
S.I. 1998 / 2307	The Lifting Operations and Lifting Equipment Regulations 1998
S.I 2017/1075	The Ionising Radiations Regulations 2017
S.I. 1999 / 3242	The Management of Health & Safety at Work Regulations 1999

Statutory Instruments (cont.)

S.I. 2002 / 2675	The Control of Asbestos at Work Regulations 2002
S.I. 2002 / 2676	The Control of Lead at Work Regulations 2002
S.I. 2003/978	The Control of Substances Hazardous to Health Regulations 2003
S.I 2004/3391	Environmental Information Regulations
S.I 2012/632	Control of Asbestos Regulations

ESTATE DEVELOPMENT			
	RETENTION PERIOD	AUTHORITY/ LEGISLATION	NOTES/ DISPOSAL METHOD
Capacity Record documents	Superseded + 5 years		Shred
Records documenting development of EM's Estate plan	Superseded + 10 years		Shred
Records documenting the development of the Capital Plan	Current + 15 years		Shred
Space Management	Superseded + 10 years		Shred
Capital Projects Monthly Reports	Superseded + 10 years		Shred
Records documenting the conduct and outcomes of space audits.	Completion of subsequent audit + 5 years	N/A	Secure shredding

BUILDING MANAGEMENT			
	RETENTION PERIOD	AUTHORITY/ LEGISLATION	NOTES/ DISPOSAL METHOD
Master plans for sites & buildings	Permanent		Retain
Management of Historical buildings and monuments	Permanent		Retain

ENVIRONMENT	RETENTION PERIOD	AUTHORITY/ LEGISLATION	NOTES/ DISPOSAL METHOD
Records documenting results of environmental audits and actions taken to address issues raised	Completion of audit + 5 years		Shred
Records documenting notification and reporting of incidents to enforcing authorities	Date of notification + 5 years		Shred
Records documenting attainment of accreditation and maintenance of environmental schemes	Termination of accreditation + 1 year	Waste(England & Wales) Regulations 2011	Recycle waste
Waste transfer notes & consignment notes (Hazardous waste)	Removal of waste + 5 years	Waste(England & Wales) Regulations 2011	Secure shredding
Waste transfer notes & consignment notes (non-hazardous waste)	Removal of waste + 5 years		Recycle waste
Register of special waste for disposal by registered contractors (not asbestos)	Removal of waste + 5 years	SI 2004/3391	Secure shredding
Records containing (anonymous) management statistics, analyses and reports of requests for environmental information.	Completion of request handling process + 3 years		Secure shredding
Records documenting identified hazards	Current + 5 years		Shred

ENVIRONMENT	RETENTION PERIOD	AUTHORITY/ LEGISLATION	NOTES/ DISPOSAL METHOD
created by its operations (i.e. drains)			

ESTATE STRATEGY/ POLICY	RETENTION PERIOD	AUTHORITY/ LEGISLATION	NOTES/ DISPOSAL METHOD
Records documenting the development of EM's estate strategy	Superseded + 10 years	NA	Secure shredding
Records documenting the development and establishment of EM's Estate Management policies: key records.	Superseded + 10 years	NA	Secure shredding

MAJOR PROJECTS			
	RETENTION PERIOD	AUTHORITY/ LEGISLATION	NOTES/ DISPOSAL METHOD
Tender procedures – refer to University Compliance Retention Policy			
Graces/Warrants/Authorities	Review after 15 years		If disposed agreed - Shred
Appointment of Consultants - unsuccessful applicants	Award of contract + 1 year		Shred
Appointment of consultant - retained with contract documents	Completion + 15 years		Shred
Records documenting the carrying out of major projects (Feasibility, Procurement, Design team, Estimates & Financial Reports, Local Authority Planning, H&S Management, COW Reports, Meetings, General Correspondence, Handover)	Completion + 15 years		Shred

PERFORMANCE & STATISTICS			
	RETENTION PERIOD	AUTHORITY/ LEGISLATION	NOTES/ DISPOSAL METHOD
Key Performance Indicators	KPI + 5 years		Secure shredding
EMS Statistics	Report + 7 years		Secure shredding
Benchmarking Annual Reports	Report + 7 years		Secure shredding

PLANNING	RETENTION PERIOD	AUTHORITY/ LEGISLATION	NOTES/ DISPOSAL METHOD
Local Government Reviews	Superseded + 10 years		Shred
Listed Buildings/Conservation areas	Permanent		Retain
Planning Obligations	Permanent		Retain

PROPERTY MANAGEMENT			
	RETENTION PERIOD	AUTHORITY/ LEGISLATION	NOTES/ DISPOSAL METHOD
Records documenting the acquisition of ownership of properties.	Closure of negotiations + 6 years	1980 c. 58 s 2	Secure shredding
Records documenting negotiations for properties where the property was not acquired.	Close of negotiations plus 3 years		
Records documenting the negotiation of leases and original lease agreements.	End of lease + 15 years		Secure shredding
Records documenting residential tenancy agreements	End of tenancy + 6 years	Code of practice for Residential Lettings 1.h	Secure shredding
Records documenting Fair Rent tenancy agreements	Retain		Secure shredding

RURAL ESTATE			
	RETENTION PERIOD	AUTHORITY/ LEGISLATION	NOTES/ DISPOSAL METHOD
Appointment of Forestry Managers & Countryside Stewardships	Termination of licence + 15 years		Secure shredding
Felling licence applications	Termination of scheme + 15 years		Shred
Woodland Grant Scheme	Termination of licence + 15 years	Countryside & Rights of way Act 2000 (CROW) S37	Secure shredding
Rights of way	Termination + 15 years		Secure shredding
Countryside access agreements	Termination + 15 years		Secure shredding
Grazing Licences	Retain		Permanent Retention
Rural Land Register	Termination + 15 years		Secure shredding
Cropping Licence	Retain		Permanent Retention
Agriculture set-aside policy	Completion + 15 years		Secure shredding

CATERING SERVICES			
	RETENTION PERIOD	AUTHORITY/ LEGISLATION	NOTES/ DISPOSAL METHOD
Records of catering requirements & options for provision	End current year + 6 years		Shred
Design & delivery of catering, menu plans , events plans	End current year + 1 year		Shred
Vending services	End current year + 6 years		Shred
Bar licence	End current year + 6 years		Shred
Hiring of conference facilities	End of current year + 1 year		Shred

FACILITIES MANAGEMENT	RETENTION PERIOD	AUTHORITY/ LEGISLATION	NOTES/ DISPOSAL METHOD
Cleaning Contract	End of contract + 6 years		Shred
Waste Disposal Statistics	End of year + 3 years		Recycle

FLEET MANAGEMENT	RETENTION PERIOD	AUTHORITY/ LEGISLATION	NOTES/ DISPOSAL METHOD
Records documenting the purchase or lease of vehicles	Retention of vehicle + 3 years		Shredding
Records documenting vehicle road tax, MOT and servicing	Retention of vehicle + 3 years		Shredding
Records documenting insurance	Retention of vehicle		Shredding
Recording of annual mileage	Retention of vehicle + 3 years		Shredding
Weekly vehicle checks	3 years		Shredding
Records documenting sale or disposal of vehicle	5 years		Shredding
Records of damage to vehicles	Retention of vehicle		Shredding

RECORDS MANAGEMENT	RETENTION PERIOD	AUTHORITY/ LEGISLATION	NOTES/ DISPOSAL METHOD
Records documenting the handling of requests for information held by EM, made under the Freedom of Information Act 2000	Completion of request + 3 years	Common practice 1998 c.29	Secure shredding
Records documenting the development and establishment of EM's Records Management strategy: key records.	Superseded	NA	Shred
Records documenting storage locations of records.	Superseded	NA	Waste Recycle

ACCOMODATION SERVICE	RETENTION PERIOD	AUTHORITY/ LEGISLATION	NOTES/ DISPOSAL METHOD
Booking forms	6 years after booking		Secure shredding
Accommodation lists	Destroy when superseded		Secure shredding
Tenancy agreement	End of tenancy + 6 years		Secure shredding
Fair Rent tenancy agreements	Retain		Retain
Accommodation fees register	6 years after booking		Secure shredding

BUILDING MAINTENANCE	RETENTION PERIOD	AUTHORITY/ LEGISLATION	NOTES/ DISPOSAL METHOD
Building condition surveys	Date of survey + 10 years		Shred
Records documenting minor maintenance works on property.	Completion of works + 5 years	1980 c. 58 s 14B	Recycle waste
Records documenting assessments made to determine the presence (or likely presence) of asbestos in premises, as required by Regulation 4(3) of the Control of Asbestos Regulations 2006 (SI 2006/2739).	Review of assessment + 10 years	Retaining assessments provides evidence of effective management of risks associated	SI 2006/2739 does not prescribe a retention period for these records.
Records documenting the monitoring of the condition of asbestos in premises, and of maintaining or removing it.	Permanent Retention	SI 2006/2739	Permanent retention
Records documenting the carrying out of interior refurbishment and fitting-out works.	Completion of works + 5 years	1980 c. 58 s 14	Shredding
Records documenting the carrying out of major maintenance works within facilities.	Completion of work + 12 years	NA	Recycle waste
Drainage survey reports	Permanent Retention		
Roof Inspection Reports including fall arrest	Date of report + 5 years		Recycle waste

BUILDING MAINTENANCE			
	RETENTION PERIOD	AUTHORITY/ LEGISLATION	NOTES/ DISPOSAL METHOD
Records documenting carrying out of planned preventative maintenance work	Current year + 5 years		Recycle waste
Crack monitoring	Date of report + 10 years		Recycle waste
Maintenance Contracts	Cessation of contracts + 5 years		Shredding
CAD Drawings	Permanent Retention		
O&M Manuals	Permanent Retention		

ENERGY MANAGEMENT	RETENTION PERIOD	AUTHORITY/ LEGISLATION	NOTES/ DISPOSAL METHOD
Records documenting formal reviews of use of energy and action taken to address issues raised	Review in 2020	Targets to reach by 2020	Shred
Records monitoring use and consumption of energy	Review in 2020		Shred
Energy Certificates for all Buildings	Review in 2020		Shred
Meter Readings	Review in 2020		Shred
Annual utilities report	Review in 2020		Shred

EQUIPMENT (Plant/Lifts/Fire Systems)	RETENTION PERIOD	AUTHORITY/ LEGISLATION	NOTES/ DISPOSAL METHOD
Records documenting the installation of equipment: items which are safety critical or associated with hazardous operations.	Decommissioning/removal + 6 years	NA	Shred
Reports of pre-commissioning examinations of lifting equipment.	Decommissioning/removal of plant	SI 1998.2307	Recycle waste
Records documenting the inspection, testing and maintenance of equipment: major items other than those specified elsewhere.	Disposal of item + 1 year	SI 1998/2307 Regulation 11(2)(a)(ii)	Shred
Maintenance logs for equipment	Decommissioning/Removal + 6 years	SI 1994/3140	Shred
Records documenting inspections of equipment, made under Regulation 6 of the Provision and Use of Work Equipment Regulations 1998	Life of equipment + 6 years	1980 c.58 s 5 SI 1998/2306	Shred
Records documenting the inspection, testing and maintenance of equipment: items which are safety critical or are associated with hazardous operations.	Completion of subsequent inspection	SI 1998/2306 Regulation 5(2) 1980 c. 58 s 5	Shred

EQUIPMENT (Plant/Lifts/Fire Systems)	RETENTION PERIOD	AUTHORITY/ LEGISLATION	NOTES/ DISPOSAL METHOD
Records documenting the examination, testing and repair of plant and equipment provided to control exposure to substances hazardous to health	Decommissioning/Disposal + 15 years	SI 1998/2306 Regulation 6(3) SI 2002/2677	Shred
Records documenting the examination, testing and repair of plant and equipment provided to control exposure to asbestos.	Date of examination/test/repair + 5 years	1980 c.58 s 14 SI 2006/2739	Shred
Records documenting the examination, testing and repair of plant and equipment provided to control exposure to lead.	Date of examination/test/repair + 5 years	SI 2002/2677 Regulation 9(4) si2002/2676	Shred
Records documenting the examination, testing and repair of personal protective equipment provided to control exposure to ionising radiation.	Date of examination/test/repair + 5 years	SI 2006/2739 Regulation 13(3) is 1999/3232	Shred
Records documenting the examination, testing and repair of other equipment provided to control exposure to ionising radiation.	Date of examination/test/repair + 2 years	SI 2002/2676 Regulation 8(4) SI 1999/3232	Retaining a maintenance history provides evidence of compliance
Reports of inspection and 'thorough examination' of lifting equipment.	Date of test + 5 years	SI 1998/2307	Recycle waste

EQUIPMENT (Plant/Lifts/Fire Systems)	RETENTION PERIOD	AUTHORITY/ LEGISLATION	NOTES/ DISPOSAL METHOD
Records documenting the cleaning/sanitisation of equipment prior to disposal	Disposal of item + 15 years	NA	SI 1999/3232 does not prescribe a retention period for these records.
Records documenting the transfer of ownership of equipment	Disposal if item + 6 years	1980 c.58 s 14	Shred
Electrical Testing and other statutory certificates	Expiry + 12 years or until superseded		Shred

FIRE SAFETY	RETENTION PERIOD	AUTHORITY/ LEGISLATION	NOTES/ DISPOSAL METHOD
Records documenting the conduct and review of fire drills	Current year + 5 years	Fire Safety order 2005	Shred
Records documenting arrangements with external emergency services	Current year + 5 years after superseded		Secure shredding
Records of SIMPLE Serious Incident Management Plan (Lengthy Emergency)	Current year + 5 years		Shred
Records of Passive Fire Precautions	Current year + 5 years		Shred
Records of Active Fire Precautions	Current year + 5 years		Shred
Records of unwanted fire alarms	Current + 5 years		Shred
Correspondence with Local Authorities including enforcement notices	Current + 5 years		Shred
Incident reports	Current year + 5 years after superseded		Shred
Records of fire risk assessments	Current year + 5 years after superseded	S.I 1997/1840	Secure shredding
Records of staff fire training - to be retained on staff record	Current plus 6 years after termination		Secure shredding

SECURITY	RETENTION PERIOD	AUTHORITY/ LEGISLATION	NOTES/ DISPOSAL METHOD
Records documenting the conduct and results of security inspections of properties, and action taken to address issued raised.	Creation + 2 years	NA	Secure shredding
Records documenting property access controls to secure areas (e.g. access registers, key registers, security data logs).	Expiry of pass + 1 month	NA	Secure shredding
Records of security passes issued to visitors	Expiry of pass + 1 year	NA	Secure shredding
Records of security passes issued to employees, other staff and students.	Creation + 1 year	NA	Secure shredding
Records documenting the conduct of routine security surveillance of properties.	Completion of two subsequent inspections	NA	Secure shredding
Records documenting the conduct of routine surveillance of facilities.	Creation + 1 month		Retaining inspection records provides evidence of effective property management over time.
Records documenting occurrences of unauthorised access to facilities, and action taken.	Last action on incident + 1 year		Secure shredding

This policy encompasses the majority of EM Records and will be updated regularly to comply with Legislation and University Policies.

Please contact the Records Manager for further advice; EM.Records@admin.cam.ac.uk