



UCQ
UNIVERSITY
CENTRE QUAYSIDE

Data Retention Schedule

Version: 7

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Document Owner/Reviewer: Head of Data & Quality

Due for review: 03/01/2024

Employee Records

| Source How is data collected? | Type of record Including details of personal data | Reason Why do we collect this data? | Handling How is data stored and processed? | Disposal When and how is this data disposed of? | Consent Obtained | Privacy Notice | Sensitive Data |
|--|---|--|---|---|------------------|----------------|----------------|
| Employee Health & Wellbeing Questionnaire – collected via MS Forms (previously collected via paper-based form) | <p>Facts of employment -</p> <p>Single Central Record - Name, Type of Employment, Start Date, End Date, Date of Birth, DBS Details, Identity Checks, Right to Work Checks, Mandatory Training completion, References</p> <p>Health Record - Name, Address, Next of Kin, NI Record, Health</p> <p>E&D Monitoring – Name, Gender, Marital Status, Age, Ethnicity, Disability, Sexual Orientation, Religious Beliefs, Flexible Working Hours</p> | HR Management | <p>Single Central Record</p> <p>Employee Health Record</p> <p>E&D Monitoring</p> <p>Stored in Synology – Central HR, access controlled.</p> <p>Physical HR files stored in Head Office (Newcastle); locked storage cabinet accessible only to CEO/VP/HR</p> | 7 years from end of employment – all sensitive personal data deleted from main record, retain name and facts of employment (i.e. start and end date, job title) | | x | x |
| Application Form, Employee Health & Wellbeing Questionnaire | All personal files excluding information on disciplinary proceedings: Name, Address, Telephone, Email, Nationality, Previous employment including salary, Criminal conviction declaration, Health, Ethnicity, Disability, Gender, Sexual Orientation, Religious Beliefs | HR Management Equality & Diversity Monitoring | <p>Stored in Synology – Central HR, access controlled.</p> <p>Physical HR files – as above</p> | 7 years from end of employment – deletion and secure shredding of physical records | | x | x |
| Disciplinary Hearing(s) | Staff disciplinary information | HR Management | Stored in Synology – Central HR, access controlled. | 7 years – deletion | | x | x |
| Application Form | Application forms and CVs for non-shortlisted candidates: Details as above | HR Recruitment and Selection | hr@ucq.ac.uk mailbox – deleted immediately on rejection. | Immediately on shortlisting / rejection – deletion | | x | x |

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|---|--|--|---|---|--|---|---|
| Application Form | Application forms and CVs for shortlisted unsuccessful candidates: Details as above | HR Recruitment and Selection | Stored in Synology – Central HR, access controlled. | 2 years - deletion | | x | x |
| Recruitment Interviews | Interview notes for unsuccessful candidates | HR Recruitment and Selection | Physical HR files stored in Head Office (Newcastle); locked storage cabinet accessible only to CEO/VP/HR | 12 months – secure shredding of physical records | | x | |
| Payroll / HMRC | Income tax and NI returns, including correspondence with tax office | Payroll, Legal obligation | Stored in Synology – CEO private folder, access controlled. Physical HR files stored as above. | 6 years after end of the financial year to which the records relate – secure shredding of records | | x | x |
| Payroll / HMRC | Statutory maternity pay records and calculations | Payroll, Legal obligation | | | | x | x |
| Payroll / HMRC | Statutory sick pay records and calculations | Payroll, Legal obligation | | | | x | x |
| Payroll | Wages and salary records | HR Management, Payroll, Legal obligation | | | | x | x |
| Accident Book | Accident books and records and reports of incidents | Health & Safety, Legal obligation | Retained by Health & Safety representative on site | 3 years after the date of the last entry – secure shredding of records | | | |
| Occupational Health Employer Report, Medical records where appropriate, including Fit Notes | All occupational health and medical records Specific medical documentation, if applicable | Health & Safety, Legal obligation | Stored in Synology – Central HR, access controlled. | 7 years from end of employment – deletion and secure shredding of physical records | | x | x |

Student Records

| Source How is data collected? | Type of record Including details of personal data | Reason Why do we collect this data? | Handling How is data stored and processed? | Disposal When and how is this data disposed of? | Consent Obtained | Privacy Notice | Sensitive Data |
|--|---|--|--|--|------------------|----------------|----------------|
| <p>Online course enquiry form (FE)</p> <p>Student Application Form (HE)</p> | <p>Records documenting the handling of student enquiries</p> <p>Name, Address, DOB, Gender, Telephone number, Email, Employment Status, Benefit Status</p> <p>HE Application Form – see below</p> | <p>Processing student enquiry</p> | <p>Online enquiry form saves in Enquiry Spreadsheet, saved in SharePoint and access controlled. Create student record on Apprenticeship Tracker (HE).</p> <p>Application Forms saved in Synology – Group Documents by Project and Student, access controlled.</p> <p>Contact details for marketing only with explicit consent.</p> | <p>Current academic year plus 1 year – entry in Enquiry spreadsheet deleted.</p> <p>Application Forms deleted for applicants who do not enrol.</p> | <p>x</p> | <p>x</p> | <p>x</p> |
| <p>Student Application/Enrolment Form (HE/FE), Benefit & Low Wage Declaration (FE), Individual Learning Plan, KSB Skillscan (HE)</p> <p>bKSB initial assessments</p> | <p>Full student records, including documents relating to application/admission; academic achievements and conduct; transfer, withdrawal or termination of studies</p> <p>Name, Address, DOB, Gender, NI Number, Telephone number, Email, Employment Status & Salary, Benefit Status, Ethnicity, Health & Disability, Prior Qualifications & Experience</p> <p>HE only – as above, Religion, Marital Status, Sexual Orientation, Gender Identity, Caring Responsibilities</p> <p>Maths and English skills levels</p> | <p>Education Delivery, Access to Government Funding for Education, Mandatory Student Data Returns to ESFA, devolved authorities and HESA</p> | <p>Documentation saved in Synology – Group Documents by Project and Student, access controlled.</p> <p>Physical files stored in locked office (Newcastle).</p> <p>Create student record on PICS. Create student record on Ecordia/Turnitin or Equal as appropriate (minimum personal information)</p> | <p>10 years – deletion of records, shredding of physical records.</p> <p>Student records archived in PICS, Ecordia, Equal and bKSB.</p> | <p>x</p> | <p>x</p> | <p>x</p> |

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| | | | bKSB assessments are stored securely within the bKSB platform. | | | | |
| HE Programme of study | Facts of registration and academic performance; dates of study, progression, programme, marks, final award | Education Delivery and Certification | Stored in student folder – Synology (Group Documents). All marks recorded by student in Ecordia, Turnitin and Student Apprenticeship Tracker (Microsoft Power platform). | Perpetuity | | x | |
| Student request | Records documenting the handling of individual students' requests for statements of results | Enquiry Handling | Stored in student folder – Synology (Group Documents) | 1 year - deletion | | | |
| Programme of Study | Records documenting the programme of study; including individual students' attendance, submission of coursework including schedules for submission, marks/grades and assessment, organisation of student work/study placement if applicable, examination scripts | Education Delivery and Certification | <p>Stored in student folder – Synology (Group Documents).</p> <p>FE – student portfolios stored securely in locked office, Synology or Equal ePortfolio.</p> <p>HE – Ecordia ePortfolio, Turnitin assignments, marks/grades and attendance on Student Apprenticeship Tracker (Microsoft Power platform).</p> <p>Session recordings - either Ecordia (historic) or Sharepoint via Stream (current).</p> | <p>Duration of studies plus 3 years – deletion of records, secure shredding of physical records.</p> <p>Student records archived in Ecordia and Equal.</p> | | x | x |

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|---|---|--------------------------------------|--|---|--|---|---|
| Examination Procedure | Records documenting organisation of examination facilities; attendance at examinations; handling of impaired performance claims; collation and notification of results | Education Delivery and Certification | Stored in Project folder – Synology (Group Documents) | Current academic year plus 1 year | | x | |
| Procedures for disciplinary proceedings, appeals and complaints | Records documenting: the conduct and results of disciplinary proceedings against individual students; handling and results of academic appeals by individual students; handling of complaints made by individual students | Education Delivery and Certification | Stored in student folder – Synology (Group Documents) and summary in Student Appeals, Complaints & Behaviours Log (Central HR) | Last action on case plus 6 years | | x | |
| Procedure for award ceremonies | Records documenting the organisation of award ceremonies, production & collection/ mailing of award certificates | Education Delivery and Certification | Stored in Synology (Group Documents/UCQ/Graduation) | Completion of ceremony plus 1 year | | | |
| Phone call or online data collection using Destination Script | Destination Surveys – individual responses (if applicable) | Destination Tracking | Analysis stored in Synology (Group Documents). Destination recorded against student record in PICS | 10 years – deletion of records. Student records archived in PICS. | | x | x |
| Criminal conviction declaration | Records documenting unspent convictions declared to Safeguarding team | Safeguarding duty | Records stored in Synology (Central HR in folder only accessible to Safeguarding Team). Records are anonymised for non-starters. | 10 years – deletion of records. | | x | x |

External Examiner and Invigilator Records

| Source How is data collected? | Type of record Including details of personal data | Reason Why do we collect this data? | Handling How is data stored and processed? | Disposal When and how is this data disposed of? | Consent Obtained | Privacy Notice | Sensitive Data |
|---|--|---|--|---|------------------|----------------|----------------|
| CV | Records documenting the selection and appointment of external examiners (and external invigilators as appropriate) | HR Management, Education Delivery | Stored in Synology – Central HR, access controlled. | Termination of appointment plus 1 year - deletion | | x | |
| Exam Board process | External Examiner reports, meeting minutes and departmental responses | Education Delivery and Certification | Stored in Synology (Group Documents/UCQ/Meetings) | 7 years - deletion | | x | |