

HERITAGE AND INFORMATION GOVERNANCE
Records Retention Schedule for Equality & Diversity

This retention schedule is based on the recommendations made by the Joint Information Systems Committee. The letter indicates the final disposition of each type of record, and applies to original records. Where copies of originals are kept locally, these can be destroyed when these are no longer required.:

A = 1 copy to be transferred to the University Archive. See Retention Schedule Guidelines for further details.

D = Destroyed.

The number following the letter code indicates the period (in years) after which records may be destroyed, and is the minimum retention period required by best practice or legislation. It assumes a new file is opened at the start of each academic, calendar or financial year, and is **always** calculated from the date of the last record in the file.

FOLDER STRUCTURE	Examples of Types of Record	Retention Period	Legislative Authority
EQUALITYDIVERSITY/STRATEGY - identifying requirements for new/revised strategy - undertaking research - developing strategy proposals - consulting on strategy proposals - reviewing and revising strategy proposals in the light of comments received - drafting strategy documents - consulting on strategy documents - reviewing draft strategy documents in the light of comments received - producing final strategy documents - submitting final strategy documents for formal endorsement - formally endorsing strategy documents - disseminating strategy documents - reviewing strategy.	Key records documenting the development and establishment of the institution's equality & diversity strategy. Working papers documenting development and establishment of the institution's equality & diversity strategy.	A: Superseded + 5 years Copy to the University Archive after approval for permanent retention. D: Issue of strategy + 1 year	

Records Retention Schedule for Equality & Diversity (2)

EQUALITYDIVERSITY/POLICY • identifying requirements for new/revised policy • undertaking research • developing policy proposals • consulting on policy proposals • reviewing and revising policy proposals in the light of comments received • drafting policy documents • consulting on policy documents • reviewing draft policy documents in the light of comments received • producing final policy documents • submitting final policy documents for formal approval • formally approving policy documents • disseminating policy documents • reviewing policy	Key records documenting the development and establishment of the institution's equality & diversity policies. Working papers documenting development and establishment of the institution's equality & diversity policies.	A: Superseded + 5 years Copy to the University Archive after approval for permanent retention. D: Issue of policy + 1 year	Guide for Members of Higher Education Governing Bodies in the UK, Committee of University Chairmen, 2004, Part III, para. 10.8: 'All HEIs must publish a race equality policy ...'
EQUALITYDIVERSITY/PROCEDURES • identifying needs for new/revised procedure • undertaking research • analysing work processes • drafting procedure documents • consulting on procedure documents • reviewing draft procedure documents in the light of comments received • trialling procedure • refining procedure as a result of trials • submitting final procedure documents for formal approval • formally approving procedure documents • disseminating procedure documents • reviewing procedure.	Master copies of procedures relating to equality & diversity. Development of the institution's procedures relating to equality & diversity.	A: Superseded + 3 years Copy to the University Archive after approval for permanent retention. D: Issue of procedures + 1 year	

Records Retention Schedule for Equality & Diversity (3)

EQUALITYDIVERSITY/DISABILITY - preparing and publishing the institution's Disability Equality Scheme (Note 1), including publishing a revised Scheme every three years - preparing and publishing the institution's annual reports on the implementation of its Disability Equality Scheme (Note 2) - assessing the impact of the institution's policies and practices on equality for disabled people.	Preparation/revision of the institution's Disability Equality Scheme. Preparation of annual reports on the implementation of the institution's Disability Equality Scheme. Assessments of the impact of the institution's policies and practices on equality for disabled persons.	A: Superseded + 5 years D: Current year + 5 years D: Superseded + 5 years Retaining previous versions provides evidence of compliance and effective management of equality over time.	SI 2005/2966 does not prescribe a retention period for these records. SSI 2005/565 does not prescribe a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of equality over time.
EQUALITYDIVERSITY/DISCRIMINATION COMPLAINTS - reviewing and investigating complaints - informing complainants about the outcomes of reviews and investigations - responding to any further action taken by complainants.	Handling of formal complaints about discrimination by or within the institution.	D: Last action on case + 6 years	Limitation Act 1980 c.58 s2 Prescription and Limitation (Scotland) Act 1973 c.52 s6
EQUALITYDIVERSITY/GENDER - preparing and publishing the institution's Gender Equality Scheme (Note 1), including publishing a revised scheme every three years (Note 2) - preparing and publishing the institution's annual reports on the implementation of its Gender Equality Scheme (Note 3) - assessing the impact of the institution's policies and practices on equality between men and women.	Preparation/revision of the institution's Gender Equality Scheme. Preparation of annual reports on the implementation of the institution's Gender Equality Scheme. Assessments of the impact of the institution's policies and practices on equality for men and women.	A: Superseded + 5 years D: Current year + 5 years D: Superseded + 5 years	SI 2006/2930 does not prescribe a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of equality over time.
EQUALITYDIVERSITY/MINORITYMENTORING - handling applications for the Scheme - matching mentors with mentees - monitoring the mentor-mentee relationship and progress.	Handling of individual applications for the Scheme and monitoring of the mentor-mentee relationship and outcomes.	D: Completion of the Scheme + 1 year	

Records Retention Schedule for Equality & Diversity (4)

EQUALITYDIVERSITY/MONITORING - collecting data on student recruitment, admissions, progression and attainment, and on employee recruitment and promotion - analysing data in relation to equality between men and women, disabled persons, persons of different ages and of different racial groups - preparing and submitting formal reports of equal opportunities monitoring to external organisations.	Summary statistical information resulting from equality monitoring.	D: Current year + 5 years	
EQUALITYDIVERSITY/TRAINING - identifying training requirements - analysing training needs - identifying and evaluating training options. For external training, activities include: - identifying and evaluating training programmes - organising attendance at training events - evaluating training programmes/events. For internal training, activities include: - developing training programmes - organising and arranging training events - delivering training - evaluating training programmes/events.	Development and delivery of training on equality and diversity issues and procedures.	D: Current year + 5 years	
EQUALITYDIVERSITY/RACE - preparing and publishing the institution's race equality policy (Note 1) - assessing the impact of the institution's policies on students and staff from different racial groups, and publishing the results (Note 2) - monitoring, by racial group, student admission and progress, and employee recruitment and career progress, and publishing the results (Note 3).	Preparation of the institution's race equality policy. Assessments of the impact of the institution's policies on equality between different racial groups.	A: Superseded + 5 years D: Superseded + 5 years	SI 2001/3458 does not prescribe a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of equality over time.

Records Retention Schedule for Equality & Diversity (5)

EQUALITYDIVERSITY/RACE (CONT.)	Monitoring, by racial group, of student admission and progress. Monitoring, by racial group, of employee recruitment and career progress.	D: Current year + 5 years D: Current year + 5 years	SI 2001/3458 does not prescribe a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of equality over time.
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EQUALITYDIVERSITY/DISABILITY

In the UK, key legislation is: Disability Discrimination Act 1995 (1995 c. 50); Disability Discrimination Act 2005 (2005 c. 13).

In Scotland, key legislation is: Disability Discrimination (Public Authorities)(Statutory Duties)(Scotland) Regulations 2005 (SSI 2005/565).

Note 1: Duty imposed by Regulation 2 of Disability Discrimination (Public Authorities)(Statutory Duties)(Scotland) Regulations 2005 (SSI 2005/565)

Note 2: Duty imposed by Regulation 5 of Disability Discrimination (Public Authorities)(Statutory Duties)(Scotland) Regulation 2005 (SSI 2005/565)

EQUALITYDIVERSITY/GENDER

In the UK, key legislation is: Sex Discrimination Act 1975 (1975 c. 65); Employment Equality (Sex Discrimination) Regulations 2005 (SI 2005/2467); Sex Discrimination Act 1975 (Public Authorities)(Statutory Duties) Order 2006 (SI 2006/2930).

Note 1: Duty imposed by Article 2 of Sex Discrimination Act 1975 (Public Authorities)(Statutory Duties) Order 2006 (SI 2006/2930)

Note 2: Duty imposed by Article 4 of Sex Discrimination Act 1975 (Public Authorities)(Statutory Duties) Order 2006 (SI 2006/2930)

Note 3: Duty imposed by Article 6 of Sex Discrimination Act 1975 (Public Authorities)(Statutory Duties) Order 2006 (SI 2006/2930)

EQUALITYDIVERSITY/RACE

In the UK, key legislation is: Race Relations Act 1976 (1976 c. 74); Race Relations (Amendment) Act 2000 (2000 c. 34); Race Relations Act 1976 (Statutory Duties) Order 2001 (SI 2001/3458).

Note 1: Duty imposed by Article 3(1) of Race Relations Act 1976 (Statutory Duties) Order 2001 (SI 2001/3458)

Note 2: Duty imposed by Article 3(4)(a) of Race Relations Act 1976 (Statutory Duties) Order 2001 (SI 2001/3458)

Note 3: Duty imposed by Article 3(4)(b) of Race Relations Act 1976 (Statutory Duties) Order 2001 (SI 2001/3458)