

**UNIVERSITY OF LONDON
RECORDS MANAGEMENT MANUAL:
BEST PRACTICE PROCEDURE No. 9**

GENERAL RECORDS RETENTION SCHEDULE

This Schedule has been prepared to assist staff in disposing of semi-current and current records of the University. "Disposal" refers to the process whereby records are appraised for either destruction or permanent retention.

The Schedule is designed for disposal guidance, on an interim basis, pending agreement of individual retention schedules for the University's Divisions, Responsibility Centres and Institutes of the School of Advanced Study. *Disposal authority lies with the specific, approved retention schedules and not with this general schedule, which is only a guide.*

The schedule sets out disposal provisions for each category of record as follows: description of records, disposal instruction to staff (destruction or transfer), action to be taken by the Records Management Team (RMT) if the record has been transferred and the relevant legislative authority or records management guideline. The disposal provisions take into account administrative need, possible reference requirements by staff and potential long-term research and/or legal value.

The records have been classified according to function. The functions have been developed using a model for a general records retention schedule for Higher Education Institutions created by the Joint Information Systems Committee (JISC). JISC is a strategic advisory committee working on behalf of the funding bodies for further and higher education in England, Scotland, Wales and Northern Ireland.

The JISC HE Records Retention Schedule* may be viewed at:

<http://www.jisc.ac.uk/publications/documents/recordslifecyclestudy97/recordsretentionsched.aspx>

The schedule outlined below is a simplified version. It additionally includes some specific categories of records which have been the subject of frequent enquiry by staff.

*Note: The latest HE Business Classification Scheme and Records Retention Schedule is available at: <http://www.jisfonet.ac.uk/partnerships/records-retention-he>

Higher Education Institutions all have similar common functions:

1. Strategy development and implementation
2. External relations
3. Teaching and learning
4. Research and development
5. Student administration and support
6. Resource management

The records listed below have been included under one of the above functions. Although every effort has been made to incorporate as many known categories of records as possible, many current and semi-current records unique to individual offices will, inevitably, not be included in the schedule. These unique records will be listed in individual records retention schedules to be drawn up for each office.

The records listed below will fall into one of the following disposal groups:

- Records of various formats which may be destroyed by staff once reference ceases or for which the statutory limitation period has passed.
- Hard copy records which have already come in to the custody of the Records Management Team and are held in semi-current storage pending review.

- Paper records currently held in offices, which should be transferred to the Records Management Team for permanent retention in the University Archives in the Library at a future date.
- Records currently held in offices, which should be transferred to semi-current storage for review. These records, which are usually correspondence files, are unlikely to warrant permanent retention in their entirety, but will require appraisal to establish their research value. The appraisal process will be undertaken by the RMT in collaboration with the responsible officer, at a time to be specified in the individual records retention schedules.
- Note on the review process: this is the process of appraisal of a record, usually a file (either paper or electronic), and usually (but not always) post-transfer, to determine whether a record, or individual documents within a record, should be destroyed or retained permanently as follows:
 - Documents which will be **destroyed** will comprise of drafts, duplicate material, ephemera (e.g. arrangements for meetings, travel arrangements, petty cash payments, thank-you letters, notices of changes of dates, venue or personnel, routine enquiries, requests for papers, printing arrangements) and external information material.
 - Documents which will be **retained** permanently comprise of policy and procedural material, strategy papers, forward planning documents, progress reports, legal documents, final draft or published documents and material of potential archival value.

Notes on disposal procedures

- Transfer to the RMT should, as a rule, be when reference ceases or 2 years after the last date on file, whichever is the sooner.
- Weeding may be undertaken on any of the series of records listed below, other than accounting records, by staff as needed to reduce congestion. It is not advisable to weed records less than 2 years old. The following material may be destroyed: drafts, duplicate material, ephemera (e.g. arrangements for meetings, travel arrangements, petty cash payments, thank-you letters, notices of changes of dates, venue or personnel, routine enquiries, requests for papers, printing arrangements) and external information material.
- Electronic records and other records in non-paper format should be sentenced for disposal in exactly the same way as paper records, unless specific procedures to the contrary are outlined in the schedule.
- Physical destruction of paper records should be carried out as follows:
 - a) Destruction within departments: non-confidential records may be destroyed in the most convenient way. Confidential records must be shredded; please refer to Best Practice Procedure No. 6: *Destruction of confidential paper records*.
 - b) Transfer to the RMT for permanent retention or later review: please refer to Best Practice Procedure No. 7: *Transfer of paper records to semi-current storage*.

Contents

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Procedure approved in principle 9/9/02; amended 3/12/02; 17/1/03; 30/1/03; 17/02/04; Approved 23/6/04; amended 3/07/06; 29/9/09

THE SCHEDULE

Section 1: RECORDS RELATING TO STRATEGY DEVELOPMENT AND IMPLEMENTATION

- 1.1 Strategic planning
- 1.2 Contingency planning
- 1.3 Organisational development
- 1.4 Governance

Description of records	Disposal action to be taken in office	Disposal action to be taken by RMT	Statutory authority or guideline
1.1 Strategic planning			
Definition of strategic goals and objectives and formulation of plans to achieve these goals and objectives, including: <ul style="list-style-type: none"> • Strategic Plan • Corporate Plan • Mission Statement 	Transfer to RMT when closed	Retain permanently	Archival value
Measurement of the institution's performance against its overall strategic goals and objectives	Transfer to RMT when closed	Retain permanently	Archival value
Identification and accounting of under-performance	Transfer to RMT when closed	Retain permanently	Archival value
Reporting on performance to funding councils, government departments and other authorised bodies	Transfer to RMT when closed	Retain permanently	Archival value
1.2 Contingency planning			
Identification, quantification and assessment of risks <ul style="list-style-type: none"> • Risk Assessment Reports 	Transfer to RMT when closed	Review 10 years after file closed	
Development and testing of disaster prevention, response and recovery plans <ul style="list-style-type: none"> • Contingency plans • Business recovery plans • Disaster plans • Emergency planning exercise documentation 	Transfer to RMT when closed	Review 10 years after file closed	
Identification and protection of vital information resources <ul style="list-style-type: none"> • Vital Records Schedules 	Transfer to RMT when closed	Review 10 years after file closed	
1.3 Organisational development			
Planning and implementation of organisational and cultural	Transfer to RMT when closed	Retain permanently	Archival value

change, and analysis of its impact			
<ul style="list-style-type: none"> • Planning statements • Organisation plans • Organisation charts 			
Monitoring of competitors' overall strategies and performance	Destroy 2 years after file closed		JISC guidelines
<ul style="list-style-type: none"> • Market Research Reports 			
1.4 Governance			
Definition and development of rules of governance and management structures, including:	Transfer to RMT when finalised	Retain permanently	Archival value
<ul style="list-style-type: none"> • Charter • Constitution • Ordinances / Statutes / Regulations 			
Recording the proceedings and decisions of the institution's governing body and key committees, including:	Transfer to RMT when file closed	Retain permanently	Archival value
<ul style="list-style-type: none"> • Minute books • Signed minutes, agenda and papers: "official set" maintained by responsible office 	<ul style="list-style-type: none"> • Transfer to RMT when book full • Transfer to RMT not more than 5 years after meeting 		<ul style="list-style-type: none"> • University of London Ordinance 4 clause 16
Notices of meetings	Destroy 1 year after file closed		
Copy minutes, agenda and papers held in other offices	Destroy when reference ceases		

Section 2: RECORDS RELATING TO EXTERNAL RELATIONS

- 2.1 Government and regulator relations
- 2.2 Marketing
- 2.3 Publications
- 2.4 Community liaison
- 2.5 Alumni records

Description of records	Disposal action to be taken in office	Disposal action to be taken by RMT	Statutory authority or guideline
2.1 Government and regulator relations			
Management of relationships with other higher education institutions	Transfer to RMT when file closed	Retain permanently	Archival value
Monitoring of, and participation in, the development of policies which will affect the institution	Transfer to RMT when file closed	Retain permanently	Archival value
Negotiation and management	Transfer to RMT when	Destroy 7 years after	JISC guidelines

of inter-university agreements, including: • Inter-university Agreements	file closed	termination of agreement	
Planning, financing and management of co-operative ventures, including: • Joint Venture Agreements	Transfer to RMT when file closed	Destroy 7 years after termination of agreement	JISC guidelines
2.2 Marketing			
Design and control of the institution's corporate identity, including: • Designs • Design and distribution of promotional materials	Transfer to RMT when file closed	Retain permanently	Archival value
Identification and exploitation of promotional opportunities	Transfer to RMT when file closed	Destroy 5 years after file closed	JISC guidelines
Planning and execution of marketing campaigns, and assessment of their impact, including: • Marketing Plans • Market Research Reports	Transfer to RMT when file closed	Retain permanently	Archival value
Planning and control of media communications, including: • Press Releases	Transfer to RMT when file closed	Retain permanently	Archival value
Monitoring and control of media coverage, including: • Press clippings • Press coverage statistics	Transfer to RMT when file closed • Transfer to RMT when file closed • Destroy 1 year after file closed	Retain permanently • Retain permanently	Archival value
Design and management of World Wide Web (WWW) sites, including: • WWW site "snapshots" *	Retain permanently		Archival value
2.3 Publications			
Design of official publications	Transfer to RMT when file closed	Retain permanently	Archival value
Publications policy files	Transfer to RMT when file closed	Retain permanently	Archival value
Contracts	Transfer to RMT on termination of contract	Destroy 7 years after termination of contract	Limitation Act 1980
Distribution of publications	Destroy when reference ceases		
2.4 Community liaison			
Monitoring of the local economy and job market	Transfer to RMT when file closed	Destroy 5 years after file closed	JISC Guidelines
Monitoring of, and participation	Transfer to RMT when	Retain permanently	Archival value

in, local initiatives which provide learning opportunities for staff and students	file closed		
Providing support and assistance to local organisations and institutions	Transfer to RMT when file closed	Retain permanently	Archival value
Identification of fundraising opportunities	Transfer to RMT when file closed	Review 20 years after file closed	
Design and execution of fundraising campaigns, and assessment of their impact, including: <ul style="list-style-type: none"> • Fundraising plans • Promotional materials • Promotional prospectuses • Event statistics 	Transfer to RMT when file closed	Retain permanently	Archival value
Management of relationships with individuals and institutions which provide funds, including: <ul style="list-style-type: none"> • Donor/sponsor summary records/database* 	Transfer to RMT when file closed	Review 20 years after termination of relationship	
2.5 Alumni records			
Maintenance of alumni records <ul style="list-style-type: none"> • Alumni summary records/database* • First Destination statistics 	Transfer to RMT when file closed	Retain permanently	Archival value
Provision of support and assistance to alumni associations	Transfer to RMT when file closed	Retain permanently	Archival value
Organisation of special alumni events	Transfer to RMT when file closed	Retain permanently	Archival value
Management of relationships with alumni, including: <ul style="list-style-type: none"> • Alumni newsletters/magazines 	Transfer to RMT when file closed <ul style="list-style-type: none"> • Transfer one copy to University Library; discard unwanted copies 	Retain permanently	Archival value

Databases and other records not retained in paper form will need further investigation to determine their disposal, and, if permanent, in what format and at which location.

Section 3: RECORDS RELATING TO TEACHING AND LEARNING

- 3.1 Performance management
- 3.2 Curriculum development
- 3.3 Course development
- 3.4 Course administration
- 3.5 Student assessment
- 3.6 Examinations
- 3.7 Awards

Description of records	Disposal action to be taken in office	Disposal action to be taken by RMT	Statutory authority or guideline
3.1 Performance management			
Teaching and Learning strategy files	Transfer to RMT when closed	Retain permanently	Archival value
Files on monitoring, inspection and assessment of examination and other procedures which lead to awards	Transfer to RMT when closed	Retain permanently	Archival value
Teaching Assessment Exercises <ul style="list-style-type: none"> Final reports Other records 	Transfer to RMT when closed	<ul style="list-style-type: none"> Retain permanently Destroy 5 years after file closed 	<ul style="list-style-type: none"> Archival value JISC guidelines
Subject Reviews, including: <ul style="list-style-type: none"> Self-assessment Documents Final Report Other records 	Transfer to RMT when closed	<ul style="list-style-type: none"> Retain permanently Retain permanently Destroy 5 years after file closed 	<ul style="list-style-type: none"> Archival value Archival value JISC guidelines
3.2 Curriculum development			
Monitoring of curriculum trends	Transfer to RMT when file closed	Destroy 5 years after file closed	JISC guidelines
Monitoring and evaluation of curricula in other institutions	Transfer to RMT when file closed	Destroy 5 years after file closed	JISC guidelines
Design of new curricula, including: <ul style="list-style-type: none"> Reports and other key documents Other records 	Transfer to RMT when file closed	<ul style="list-style-type: none"> Retain permanently Destroy 5 years after file closed 	<ul style="list-style-type: none"> Archival value JISC guidelines
Monitoring, evaluation and development of existing curricula, including: <ul style="list-style-type: none"> Reports and other key documents Other records 	Transfer to RMT when file closed	<ul style="list-style-type: none"> Retain permanently Destroy 5 years after file closed 	<ul style="list-style-type: none"> Archival value JISC guidelines
3.3 Course development			
Course directors' general correspondence files	Transfer to RMT when file closed	Review 5 years after file closed	Best practice
Identification and analysis of market needs for new courses	Transfer to RMT when file closed	Destroy 5 years after file closed	JISC guidelines
Monitoring and analysis of enquiries about courses and qualifications, including: <ul style="list-style-type: none"> Enquiry forms Collated data – reports/statistics (anonymised) 	<ul style="list-style-type: none"> Destroy 1 year after creation Transfer to RMT when file closed 	<ul style="list-style-type: none"> Review 5 years after file closed 	JISC guidelines
Monitoring and assessment of courses offered by other	Destroy when reference ceases		

institutions			
Definition and development of new courses, including: <ul style="list-style-type: none"> • Course outlines • Course guides • Prospectuses • other records 	Transfer to RMT when file closed	<ul style="list-style-type: none"> • Retain permanently • Retain permanently • Retain permanently • Destroy 5 years after file closed 	<ul style="list-style-type: none"> • Archival value • Archival value • Archival value • JISC guidelines
Course accreditation records	Transfer to RMT when file closed	Review 5 years after file closed	Best practice
Review and redesign of existing courses <ul style="list-style-type: none"> • Course outlines • Course guides • Prospectuses • other records 	Transfer to RMT when file closed	<ul style="list-style-type: none"> • Retain permanently • Retain permanently • Retain permanently • Destroy 5 years after file closed 	<ul style="list-style-type: none"> • Archival value • Archival value • Archival value • JISC guidelines
Preparation and delivery of courses <ul style="list-style-type: none"> • Course notes • Lecture notes • Seminar notes • Assignments • Handouts • Presentation materials • Reading lists 	Transfer one copy of each to RMT; destroy unwanted duplicates	Review 5 years after course completion and select representative samples for permanent retention	Archival value
Collection, analysis and review of feedback on courses <ul style="list-style-type: none"> • Staff course review reports • Examiners' course review reports • Student course feedback forms • Collated data – reports/statistics 	<ul style="list-style-type: none"> • Destroy 1 year after creation • Destroy 1 year after creation • Destroy 1 year after creation • Transfer to RMT when file closed 	<ul style="list-style-type: none"> • Review 5 years after file closed 	JISC guidelines
3.4 Course administration			
Course timetables	Destroy 1 year after academic year competed		JISC guidelines
Assignment of students to classes / groups, including: <ul style="list-style-type: none"> • Class lists • Tutorial lists 	Destroy 1 year after academic year competed		JISC guidelines
Monitoring of student attendance, including: <ul style="list-style-type: none"> • Attendance registers 	Destroy 1 year after academic year competed		JISC guidelines
Monitoring of submission of assignments by students, including: <ul style="list-style-type: none"> • Course assignment registers 	Destroy 1 year after academic year competed		JISC guidelines
Design of assessment methods	Transfer to RMT	Retain permanently	Archival value

and standards, including: <ul style="list-style-type: none"> Assessment Standard documents 	when file closed		
Communication of assessment methods and standards to students	Destroy 1 year after academic year completed		
3.5 Student assessment			
Design of assessment methods and standards, including: <ul style="list-style-type: none"> Assessment standard documents 	Transfer to RMT when file closed	Retain permanently	Archival value
Communication of methods and standards to students	Destroy 2 years after file closed		
3.6 Examinations			
Definition of examination / assessment rules, including: <ul style="list-style-type: none"> Examination rules/ protocols 	Transfer to RMT when file closed	Retain permanently	Archival value
Design of examinations and assessments, including: <ul style="list-style-type: none"> Examination papers 	Transfer to RMT when file closed	Retain permanently	Archival value
Selection of external/internal examiners, including: <ul style="list-style-type: none"> Nominations Notes on selection/rejection of examiners Invitations to potential examiners 	Destroy 2 years after file closed		JISC guidelines
Marking of examinations: <ul style="list-style-type: none"> Examination scripts/ assignments Examiners' marking sheets Examiners' notes Examiners' reports 	Transfer to RMT when file closed	Destroy 7 years after file closed	JISC guidelines
Communication of examination results to students, including: <ul style="list-style-type: none"> Pass lists 	Transfer to RMT when file closed	Retain permanently	Evidential value
Processing of complaints and appeals about examination procedures and results: <ul style="list-style-type: none"> Complaints files (unless merged with student file) Appeals files (unless merged with student file) 	Transfer to RMT when file closed	Destroy 7 years after file closed	Limitation Act 1980
Timetabling of examinations: <ul style="list-style-type: none"> Examination timetables Examination notices 	Destroy 1 year after academic year completed		JISC guidelines
Assignment of invigilators	Destroy 1 year after academic year completed		

3.7 Awards			
Organisation of awards ceremonies, including: <ul style="list-style-type: none"> • Programmes 	Transfer to RMT when file closed	Retain permanently	Archival value
Confirmation of student awards, including: <ul style="list-style-type: none"> • Pass lists • Graduation certificates • Awards lists • Graduation lists 	Transfer to RMT when file closed	Retain permanently	Archival value
Nomination and selection of candidates for honorary awards, including: <ul style="list-style-type: none"> • Awards certificates • Awards lists 	Transfer to RMT when file closed	Retain permanently	Archival value

Section 4: RECORDS RELATING TO RESEARCH AND DEVELOPMENT
(revised 24/7/02)

- 4.1 Research strategy development
- 4.2 Research proposals
- 4.3 Research programme management
- 4.4 Research materials
- 4.5 Research outcomes

Description of records	Disposal action to be taken in office	Disposal action to be taken by RMT	Statutory authority or guideline
4.1 Research strategy development			
Research policy/strategy files	Transfer to RMT when file closed	Retain permanently	Archival value
Publicity material, brochures	Transfer to RMT when file closed	Review 5 years after file closed	
Records relating to funding	Transfer to RMT when file closed	Retain permanently	Archival value
4.2 Research proposals			
Research grant applications	Transfer to RMT when file closed	Destroy 7 years after file closed	Limitation Act 1980
Research grant application summaries	Transfer to RMT when file closed	Retain permanently	Archival value
Preparation and submission of research proposals <ul style="list-style-type: none"> • Research proposals – successful • Research proposals – unsuccessful 	Transfer to RMT when file closed	<ul style="list-style-type: none"> • Retain permanently • Destroy 5 years after file closed 	<ul style="list-style-type: none"> • Retain for possible re-use of content

4.3 Research programme management			
Research assessment exercises: <ul style="list-style-type: none"> Final reports Drafts, correspondence 	Transfer to RMT when file closed	<ul style="list-style-type: none"> Retain permanently Destroy 5 years after file closed 	<ul style="list-style-type: none"> Archival value
Progress reports	Transfer to RMT when file closed	Retain permanently	Archival value
4.4 Research materials			
Reference/information materials	Destroy when project terminated		
Questionnaire, interviews	Transfer to RMT on completion of project	Review 10 years after completion of project	Potential archival value
Medical questionnaire	Transfer to RMT on completion of project	Review 10 years after completion of project	Medical Research Council guidelines
4.5 Research outcomes			
Research outcomes: <ul style="list-style-type: none"> Published/printed reports Unpublished reports Lectures and presentations 	<ul style="list-style-type: none"> Send one copy to University Library; destroy unwanted duplicates Transfer to RMT Transfer to RMT 	<ul style="list-style-type: none"> Retain permanently Retain permanently 	Archival value/possible re-use of content

Section 5: RECORDS RELATING TO STUDENT ADMINISTRATION AND SUPPORT

- 5.1 Student services
- 5.2 Student admission and registration
- 5.3 Student discipline
- 5.4 Student surveys
- 5.5 Student activities

Description of records	Disposal action to be taken in office	Disposal action to be taken by RMT	Statutory authority or guideline
5.1 Student services			
Development of services <ul style="list-style-type: none"> Key development and review documents Other records 	Transfer to RMT when file closed	<ul style="list-style-type: none"> Retain permanently Destroy 10 years after file closed 	<ul style="list-style-type: none"> Archival value JISC Guidelines
Liaison with students regarding institutional operations and administration, including Student satisfaction surveys: <ul style="list-style-type: none"> Survey data Collated statistics/reports 	Transfer to RMT when file closed	<ul style="list-style-type: none"> Retain permanently Destroy 1 year after creation 	<ul style="list-style-type: none"> Archival value JISC Guidelines

		<ul style="list-style-type: none"> Retain permanently 	<ul style="list-style-type: none"> Archival value
Staff/Student bodies – meeting papers	Transfer to RMT when file closed	Retain permanently	Archival value
Assessment of external qualifications, including: <ul style="list-style-type: none"> Collated statistics 	Transfer to RMT when file closed	Retain permanently	Archival value
Co-ordination of student funding arrangements	Transfer to RMT when file closed	Destroy 6 years after creation	JISC guidelines
5.2 Student admission and registration			
Student files	Transfer to RMT when course completed	Retain permanently	Archival value
Student register	Transfer to RMT when file closed	Retain permanently	Archival value
Provision of information to/about current/past students, including: <ul style="list-style-type: none"> Requests for references/confirmation of attendance, and responses Transcripts/confirmation of attendance/results, and responses 	Destroy 1 year after completion of request		JISC guidelines
5.3 Student discipline			
Disciplinary case files	Transfer to RMT when file closed	Destroy 7 years after settlement	Limitation Act 1980
5.4 Student surveys			
Ethnic monitoring questionnaire	Transfer to RMT when file closed	Destroy 6 years after creation	Race Relations Act 1976
Ethnic monitoring reports	Transfer to RMT when file closed	Retain permanently	Archival value
Any other student questionnaire/surveys: <ul style="list-style-type: none"> Survey data Statistics/reports 	Transfer to RMT when file closed	<ul style="list-style-type: none"> Destroy 6 years after creation Retain permanently 	<ul style="list-style-type: none"> JISC guidelines Archival value
Unprocessed enquiries	Destroy 2 years after enquiry		
5.5 Student activities			
Formation, management and operation of student unions and associations	Transfer to RMT when file closed	Retain permanently	Archival value
Organisation of student activities and events e.g Rag Week <ul style="list-style-type: none"> Student Union newspapers / magazines Event programmes 	Transfer to RMT when file closed	Retain permanently	Archival value

Section 6: RECORDS RELATING TO RESOURCE MANAGEMENT

- 6.1 Procurement
- 6.2 Information and Library service management
- 6.3 IT system development
- 6.4 Records management
- 6.5 Archives management
- 6.6 Lettings administration
- 6.7 Catering services
- 6.8 Estates and premises
- 6.9 Risk assessment
- 6.10 Insurance management
- 6.11 Plant and equipment maintenance
- 6.12 Waste management
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- 6.15 Manpower planning
- 6.16 Staff performance appraisal and development
- 6.17 Industrial relations
- 6.18 Staff training
- 6.19 Job evaluation
- 6.20 Staff administration
- 6.21 Recruitment
- 6.22 Employee relations
- 6.23 Financial planning
- 6.24 Pension records
- 6.25 Purchasing
- 6.26 Payroll administration
- 6.27 Financial accounting
- 6.28 Management accounting
- 6.29 Bank accounts management
- 6.30 Capital asset management
- 6.31 Internal accounting
- 6.32 Budget administration
- 6.33 Acquisition/disposal of investments
- 6.34 Tax management
- 6.35 Intellectual property management
- 6.36 Routine/housekeeping records

Description of records	Disposal action to be taken in office	Disposal action to be taken by RMT	Statutory authority or guideline
6.1 Procurement			
Identification and vetting of potential suppliers <ul style="list-style-type: none"> • Supplier evaluation reports • Register of approved suppliers 	<ul style="list-style-type: none"> • Transfer to RMT when file closed • Destroy as superseded 	<ul style="list-style-type: none"> • Destroy 16 years after file closed 	JISC Guidelines
Selection of suppliers: Invitations to Tender/ Tenders/Tender evaluation documentation <ul style="list-style-type: none"> • Successful • Unsuccessful 	<ul style="list-style-type: none"> • Transfer to RMT when file closed • Destroy 1 year 	<ul style="list-style-type: none"> • Review 16 years after project completed 	<ul style="list-style-type: none"> • PRO Guidelines: Buildings records • Limitation Act 1980

	after file closed		
Selection of suppliers: Requests for Proposals / Proposals / Proposal evaluation documentation	<ul style="list-style-type: none"> • Successful • Unsuccessful 	<ul style="list-style-type: none"> • Transfer to RMT when file closed • Destroy 1 year after file closed 	<ul style="list-style-type: none"> • Destroy 7 years after termination of contract • Limitation Act 1980
Management of supplier relationships, including: <ul style="list-style-type: none"> • Supplier files 	Destroy 2 years after file closed		JISC Guidelines
Monitoring of supplier performance, including: <ul style="list-style-type: none"> • Contractor review reports 	Transfer to RMT when files closed	Destroy 7 years after termination of contract closed	Limitation Act 1980
Definition of internal information needs and formulation of plans to meet these needs, including: <ul style="list-style-type: none"> • Information Strategy 	Transfer to RMT when file closed	Retain permanently	Archival value
Co-ordination of internal information production and dissemination	Destroy 2 years after file closed		JISC Guidelines
Development of information systems	Transfer to RMT when file closed	Retain permanently	Archival value
Identification of ownership of business critical data, and maintenance of data to guarantee its accuracy and reliability	Destroy as superseded		JISC Guidelines
6.2 Information and Library service management			
Service delivery, including: <ul style="list-style-type: none"> • Inter-library loan forms • Enquiry forms • Loans records/database 	<ul style="list-style-type: none"> • Transfer to RMT when file closed • Destroy 1 year after completion of request • Destroy as superseded 	<ul style="list-style-type: none"> • Destroy 7 years after file closed 	<ul style="list-style-type: none"> • JISC Guidelines • British Library requirement
6.3 IT system development			
Specification of functional and technical requirements for IT hardware, software and networks <ul style="list-style-type: none"> • Functional specifications • Technical specifications 	Destroy as superseded		
Installation, testing and operation of hardware, software and networks <ul style="list-style-type: none"> • Test reports 	Destroy 5 years after file closed		JISC Guidelines

<ul style="list-style-type: none"> Operating logs 			
Operation of data backup and archiving routines <ul style="list-style-type: none"> Backup schedules Archiving schedules 	Destroy 1 year after file closed		JISC Guidelines
Design, development and implementation of IT systems	Destroy 5 years after decommissioning of system		JISC Guidelines
6.4 Records management			
Determination of retention periods for institutional records <ul style="list-style-type: none"> Records Retention Authorisations Records Retention Schedules 	Transfer to RMT when file closed	Destroy 10 years after file closed	JISC Guidelines
Selection of records for permanent preservation as the institution's historical record	Transfer to RMT when file closed	Retain permanently	Archival value
Transferring inactive records to off-site storage <ul style="list-style-type: none"> Records Transmittal Lists 	Transfer to RMT when file closed	Destroy 10 years after file closed	JISC Guidelines
Authorising destruction of time-expired records <ul style="list-style-type: none"> Destruction Authorisation Lists Records Destruction Schedules 	Transfer to RMT when file closed	Destroy 10 years after file closed	JISC Guidelines
6.5 Archives management			
Acquisition of records <ul style="list-style-type: none"> Accessions Register Depositor / donor agreements 	Transfer to RMT when file closed	Retain permanently	Archival value
Storage of archives <ul style="list-style-type: none"> Location Register 	Destroy as superseded		
Promotion of archives <ul style="list-style-type: none"> Guides Catalogues Exhibition materials 	Transfer to RMT when file closed	Retain permanently	Archival value
Provision of access to the records <ul style="list-style-type: none"> User Register Enquiry records Records of loans Production / issue records 	<ul style="list-style-type: none"> Destroy 3years after last use Transfer to RMT when file closed Transfer to RMT when file closed Destroy 1 year after file closed 	<ul style="list-style-type: none"> Review 5 years after file closed Destroy 5 years after file closed 	JISC Guidelines
Undertaking conservation work on archives, including: <ul style="list-style-type: none"> Conservation Register 	Transfer to RMT when file closed	Retain permanently	Archival value
Acquisition of collections,	Transfer to RMT when	Retain permanently	Archival value

including: <ul style="list-style-type: none"> • Accessions Register • Depositor/donor agreements 	file closed		
Organisation of collections, including: <ul style="list-style-type: none"> • Catalogues • Indexes 	Destroy as superseded		
Storage of collections, including: <ul style="list-style-type: none"> • Location Register 	Destroy as superseded		
Provision of access to the collections, including: <ul style="list-style-type: none"> • User Register • Enquiry records • Records of loans • Production / issue records 	<ul style="list-style-type: none"> • Destroy 3 years after last use • Transfer to RMT when file closed • Transfer to RMT when file closed • Destroy 1 year after file closed 	<ul style="list-style-type: none"> • Review 5 years after file closed • Destroy 5 years after file closed 	JISC Guidelines
Obtaining accreditation from external bodies	Transfer to RMT when file closed	Destroy 5 years after file closed	JISC Guidelines
Promotion of the collections as a research resource	Transfer to RMT when file closed	Retain permanently	Archival value
Undertaking of conservation work on collections, including: <ul style="list-style-type: none"> • Conservation Register 	Transfer to RMT when file closed	Retain permanently	Archival value
6.6 Lettings administration			
Lettings of student accommodation, including: <ul style="list-style-type: none"> • Accommodation Booking forms • Accommodation lists • Accommodation fees registers 	<ul style="list-style-type: none"> • Transfer to RMT when file closed • Destroy as superseded • Transfer to RMT when file closed 	<ul style="list-style-type: none"> • Destroy 7 years after termination of agreement • Destroy 7 years after termination of agreement 	Limitation Act 1980
Hiring out of conference and banqueting facilities, including: <ul style="list-style-type: none"> • Private hire agreements 	Transfer to RMT when file closed	Destroy 7 years after termination of agreement	Limitation Act 1980
6.7 Catering services			
Definition of catering requirements and evaluation of options for catering provision	Transfer to RMT when file closed	Destroy 6 years after file closed	JISC Guidelines
Design and delivery of catering services, including: <ul style="list-style-type: none"> • Menu plans • Event plans 	Destroy 2 years after file closed		JISC Guidelines
Vending services	Transfer to RMT 2 years after file closed	Destroy 7 years after last date on file	PRO Guidelines: Buildings records

Utilities	Transfer to RMT 2 years after file closed	Destroy 7 years after last date on file	Limitation Act 1980
Licences e.g. bar licences	Transfer to RMT 2 years after file closed	Destroy 7 years after licence terminated	Limitation Act 1980
6.8 Estates and premises			
Management of the legal aspects of ownership and occupancy, including: <ul style="list-style-type: none"> Title deeds Leases and licences to tenants Planning applications Fire inspection reports Fire certificates 	<ul style="list-style-type: none"> Pass to new owner upon transfer of ownership Transfer to semi-current storage on completion Transfer to semi-current storage 2 years after file closed Retain until disposal of property Destroy as superseded 	<ul style="list-style-type: none"> Destroy 16 years after expiry Review 25 years after issue 	PRO Guidelines: Buildings Records
Building plans / drawings: <ul style="list-style-type: none"> Master set Working copies Information copies held by other offices 	<ul style="list-style-type: none"> Transfer to RMT when reference ceases Destroy when reference ceases Destroy when reference ceases 	<ul style="list-style-type: none"> Retain permanently 	<ul style="list-style-type: none"> Archival value
Accommodation/space: general correspondence	Transfer to RMT 2 years after file closed	Review 5 years after last date on file	Potential archival value
Project reports	Transfer to RMT 2 years after file closed	Retain permanently	Archival value
Feasibility Studies	Transfer to RMT 2 years after file closed	Retain permanently	Archival value
Agreements with contractors and consultants	Transfer to RMT 2 years after file closed	Review 16 years after termination of contract	PRO Guidelines: Buildings records
Surveys and inspections: <ul style="list-style-type: none"> Reports Spare copies of Reports 	<ul style="list-style-type: none"> Transfer to RMT 2 years after file closed Destroy 2 years after issue 	<ul style="list-style-type: none"> Retain permanently 	<ul style="list-style-type: none"> Archival value
Minor works	Transfer to RMT 2 years after file closed	Destroy 7 years after last date on file	PRO Guidelines: Buildings records
Maintenance manuals	Destroy when superseded		
Cleaning	Transfer to RMT 2 years after file closed	Destroy 7 years after last date on file	PRO Guidelines: Buildings records

6.9 Risk assessment			
Assessment of risks, including: <ul style="list-style-type: none"> Risk Assessment Reports 	Transfer to RMT 2 years after review of assessment	Review 3 years after file closed	Management of Health and Safety at Work Regulations 1992; Workplace Health, Safety and Welfare Regulations 1992; Provision and Use of Work Equipment Regulations 1992; Manual Handling Operations Regulations 1992; Health and Safety Display Screen Equipment Regulations 1992; Noise at Work Regulations 1989; Control of Substances Hazardous to Health Regulations 1994
Monitoring of working environments, including: <ul style="list-style-type: none"> Monitoring Reports 	Transfer to RMT when reference ceases	Destroy 40 years after file closed	Health and Safety Display Screen Equipment Regulations 1992; Noise at Work Regulations 1989; Control of Substances Hazardous to Health Regulations 1994; Health and Safety Display Screen Equipment Regulations 1992; Noise at Work Regulations 1989; Control of Substances Hazardous to Health Regulations 1994
Control of handling and use of hazardous substances (e.g. asbestos), including: <ul style="list-style-type: none"> COSHH data sheets 	Transfer to RMT when reference ceases	Destroy 40 years after file closed	Control of Substances Hazardous to Health Regulations 1994
Control of access to hazardous areas, including: <ul style="list-style-type: none"> Permits to work 	Destroy 3 years after file closed		JISC Guidelines
Monitoring of the health of employees, including: <ul style="list-style-type: none"> Health surveillance reports 	Transfer to RMT when reference ceases	Destroy 40 years after file closed	Health and Safety Display Screen Equipment Regulations 1992; Control of Substances Hazardous to Health Regulations 1994
Reporting and investigation of accidents and dangerous	Transfer to semi-current storage 2	Destroy 40 years after file closed	Limitation Act 1980 + case law

occurrences	years after file closed		
Accident books and forms, including: <ul style="list-style-type: none"> • Accident books • Accident Report – Form F2508 (Reportable accidents and dangerous occurrences) • Accident reports • Dangerous occurrence reports 	<ul style="list-style-type: none"> • Destroy 3 years after completion of book • Destroy 3 years after date of entry • Destroy 3 years after date of occurrence • Destroy 3 years after date of occurrence 		Health and Safety at Work Act 1974 Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995
6.10 Insurance management			
Maintenance of insurance policies, including: <ul style="list-style-type: none"> • Insurance policies 	Transfer to RMT on termination of policy	Destroy 7 years after termination of policy	Limitation Act 1980
Filing of claims against insurance policies, including: <ul style="list-style-type: none"> • Insurance Claims • Inspection reports 	Transfer to RMT on settlement of claim	Destroy 7 years after settlement of claim	Limitation Act 1980
6.11 Plant and Equipment Maintenance			
Conduct of testing, maintenance and statutory inspections, and any necessary corrective action, including: <ul style="list-style-type: none"> • Maintenance schedules • Corrective action schedules • Inspection certificates • Maintenance certificates • Repair reports 	Transfer to RMT when reference ceases <ul style="list-style-type: none"> • Destroy 2 years after file closed • Destroy 2 years after file closed 	Destroy 7 years after life of plant/equipment expires <ul style="list-style-type: none"> • Destroy 7 years after file closed • Destroy 7 years after life of plant / equipment expires • Destroy 7 years after life of plant / equipment expires 	Limitation Act 1980
6.12 Waste Management			
Categorising and disposing of waste, including: <ul style="list-style-type: none"> • Controlled waste transfer note • Written description of waste 	<ul style="list-style-type: none"> • Destroy 2 years after file closed • Destroy 2 years after file closed 		<ul style="list-style-type: none"> • Waste Management Licensing Regulations 1994

<ul style="list-style-type: none"> Special waste consignment note 	<ul style="list-style-type: none"> Destroy 3 years after file closed 		<ul style="list-style-type: none"> Special Waste Regulations 1996
6.13 Internal services			
Allocation and reservation of accommodation, including: <ul style="list-style-type: none"> Room booking reports 	Destroy 3 months after date of booking		JISC Guidelines
Despatch and delivery of mail, including: <ul style="list-style-type: none"> Courier logs Postage logs 	Destroy 3 months after log completed		JISC Guidelines
Booking of vehicles, including: <ul style="list-style-type: none"> Taxi booking logs Pool car requisitions 	Destroy 3 months after booking		JISC Guidelines
Allocation and reservation of car parking spaces, including: <ul style="list-style-type: none"> Parking logs Parking reservation requests 	Destroy 3 months after booking		JISC Guidelines
Provision of document production services, including: <ul style="list-style-type: none"> Print/production requisitions 	Destroy 3 months after completion of job		JISC Guidelines
6.14 Security management			
Control of access to institutional premises, facilities and IT systems, including: <ul style="list-style-type: none"> Key issue/return logs Visitors logs Access logs 	Destroy 3 months after log completed		JISC Guidelines
Controlling removal of institutional property, including: <ul style="list-style-type: none"> Property removal permits 	Destroy 3 months after file completed		JISC Guidelines
6.15 Manpower planning			
Definition of staffing requirements and evaluation of employment options, including: <ul style="list-style-type: none"> Manpower Plans 	Transfer to RMT when file closed	Retain permanently	Archival value
Planning promotions and management succession, including: <ul style="list-style-type: none"> Management Succession Plan 	Transfer to RMT when file closed	Retain permanently	Archival value
6.16 Staff performance appraisal and development			
Appraising the performance of individual members of staff, including: <ul style="list-style-type: none"> Performance Appraisal reports (unless merged with personnel file) 	Destroy 3 years after file closed		JISC Guidelines

Conduct of disciplinary proceedings against staff, including: <ul style="list-style-type: none"> Staff disciplinary case files (unless merged with personnel file) 	Transfer to RMT when file closed	Destroy 7 years after settlement of case	Limitation Act 1980
Complaints (unless merged with personnel file)	Transfer to RMT when file closed	Destroy 7 years after settlement of dispute	Limitation Act 1980
Appeals (unless merged with personnel file)	Transfer to RMT when file closed	Destroy 7 years after settlement of dispute	Limitation Act 1980
6.17 Industrial relations			
Development and maintenance of relationships with trade unions	Transfer to RMT when file closed	Retain permanently	Archival value
Liaison with trade unions on proposed changes to staffing structures and other relevant matters	Transfer to RMT when file closed	Retain permanently	Archival value
Negotiation with unions regarding pay and conditions	Transfer to RMT when file closed	Retain permanently	Archival value
6.18 Staff training			
Identification and assessment of training needs, including: <ul style="list-style-type: none"> Training Needs Analysis 	Transfer to RMT when file closed	Review 10 years after file closed	
Identification, evaluation and selection of training programmes	Destroy as superseded		
Advertisement of training opportunities <ul style="list-style-type: none"> Notices 	Destroy 1 year after file closed		
Design and commissioning of new training programmes	Transfer to RMT when file closed	Review 5 years after file closed	
Review of training programmes, and assessment of their impact, including: <ul style="list-style-type: none"> Course evaluation forms Training feedback reports 	Destroy 2 years after file closed		
6.19 Job evaluation			
Definition of jobs, including: <ul style="list-style-type: none"> Job descriptions 	Transfer to RMT when file closed	Review 5 years after file closed	
Assessment of jobs in relation to established job evaluation criteria, including: <ul style="list-style-type: none"> Job evaluation reports 	Transfer to RMT when file closed	Review 5 years after file closed	

6.20 Staff administration			
Personnel files: • Senior staff • Other staff	Transfer to RMT when file closed (resignation or retirement)	<ul style="list-style-type: none"> Retain permanently Destroy at age 72 (under discussion) 	<ul style="list-style-type: none"> Archival value
Provision of information to/about current/former staff	Destroy 2 years after file closed		JISC guidelines
Requests for access to information	Destroy 1 year after completion of request		JISC guidelines
Staff directories	Transfer 1 copy to RMT on completion; destroy remaining copies as superseded		Archival value
Staff signing in books	Destroy 2 years after last date on file		Institute of Chartered Administrators guidelines
Annual leave forms	Destroy 2 years after last date on file		Public Record Office guidelines
Sickness returns (unless merged with personnel file)	Transfer to RMT when file closed	Destroy 7 years after last date on file	
Ethnic monitoring questionnaire	Transfer to RMT when file closed	Destroy 6 years after creation	Race Relations Act 1976
Ethnic monitoring reports	Transfer to RMT when file closed	Retain permanently	Archival value
6.21 Recruitment			
Authorisation of recruitment, including: • Authorisation to recruit forms	Destroy 1 year after completion		
Advertising of vacancies, including: • Advertisement • Recruitment Agency brief	Destroy 6 months after filling of vacancy		Sex Discrimination Acts 1975 and 1986; Race Relations Act 1976; Disability Discrimination Act 1995
Reviewing and shortlisting of applications	Transfer to RMT when file closed	Destroy 5 years after file closed	JISC Guidelines
Job applications: • Successful • Unsuccessful	<ul style="list-style-type: none"> Transfer to staff personnel file Destroy 6 months after filling of vacancy 		Sex Discrimination Acts 1975 and 1986; Race Relations Act 1976; Disability Discrimination Act 1995
Selection of staff: • Interview notes • Test results • References • Successful candidates • Unsuccessful candidates	<ul style="list-style-type: none"> Transfer to staff personnel file Destroy 6 months after filling of vacancy 		Sex Discrimination Acts 1975 and 1986; Race Relations Act 1976; Disability Discrimination Act 1995
6.22 Employee relations			
Monitoring of the impact of	Transfer to RMT when	Destroy 5 years after file	JISC guidelines

employment policies on recruitment and retention of staff (unless merged with personnel file)	file closed	closed	
<ul style="list-style-type: none"> • Staff attitude surveys • Exit interview reports 			
Communication with staff, including:	Transfer to RMT when file closed	Retain permanently	Archival value
<ul style="list-style-type: none"> • Staff handbook/manual • Staff newsletters 			
6.23 Financial planning			
Preparation of financial forecasts, including:	Transfer to RMT when file closed	Retain permanently	Archival value
<ul style="list-style-type: none"> • Financial forecasts 			
Preparation of capital and revenue budgets, including:	Transfer to RMT when file closed	Retain permanently	Archival value
<ul style="list-style-type: none"> • Budgets 			
6.24 Pensions records			
Maintenance of personal pension records, including:	Destroy at age 100		
<ul style="list-style-type: none"> • Staff pension files 			
6.25 Purchasing			
Purchase requisitions	Transfer to RMT when file closed	Destroy 7 years after creation	Value Added Tax Act 1994
Purchase orders	Transfer to RMT when file closed	Destroy 7 years after creation	Value Added Tax Act 1994
Delivery and goods received notes	Transfer to RMT when file closed	Destroy 7 years after creation	Value Added Tax Act 1994
6.26 Payroll administration			
Processing of non-statutory deductions from salaries and wages			
<ul style="list-style-type: none"> • Deduction authorisations • Tax Code notices 	<ul style="list-style-type: none"> • Transfer to RMT when file closed • Destroy 3 years after superseded 	<ul style="list-style-type: none"> • Destroy 7 years after creation 	
Making payroll payments	Transfer to RMT when file closed		
<ul style="list-style-type: none"> • Salary advices • Bank transfer reports 		<ul style="list-style-type: none"> • Destroy 4 years after file closed • Destroy 7 years after file closed 	<ul style="list-style-type: none"> • Income Tax (Employment) Regulations 1993 • Limitation Act 1980
Notifying staff of their employment-related tax liabilities	Transfer to RMT when file closed	Destroy 7 years after file closed	
Salary awards manuals	Destroy when superseded		

6.27 Financial accounting			
Accounting for income: <ul style="list-style-type: none"> • Sales invoices • Sales ledgers • Credit notes • Till rolls • Remittance advices • Bank statements 	Transfer to RMT when file closed	Destroy 7 years after file closed	Value Added Tax Act 1994
Accounting for expenditure: <ul style="list-style-type: none"> • Purchase invoices • Payment authorisations • Credit notes • Purchase ledgers • Cheque authorisations • BACS reports • Staff expense claims • Petty cash authorisations • Petty cash receipts • Petty cash books • Journal vouchers 	Transfer to RMT when file closed	Destroy 7 years after file closed	Value Added Tax Act 1994
6.28 Management accounting			
Financial analysis	Transfer to RMT when file closed	Retain permanently	Archival value
Management accounts <ul style="list-style-type: none"> • Annual • Monthly/quarterly 	<ul style="list-style-type: none"> • Transfer to RMT when file closed • Destroy 1 year after file closed 	<ul style="list-style-type: none"> • Retain permanently 	<ul style="list-style-type: none"> • Archival value • JISC Guidelines
6.29 Bank accounts management			
Bank paying-in slips	Transfer to RMT when file closed	Destroy 7 years after last date on file	Value Added Tax Act 1994
Bank statements	Transfer to RMT when file closed	Destroy 7 years after last date on file	Value Added Tax Act 1994
Cancelled cheques	Transfer to RMT when file closed	Destroy 7 years after last date on file	Value Added Tax Act 1994
6.30 Capital asset management			
Maintaining asset registers <ul style="list-style-type: none"> • Capital Asset Registers <ul style="list-style-type: none"> • major items • other items 	Transfer to RMT when file closed	<ul style="list-style-type: none"> • Retain permanently • Destroy 12 years after disposal of asset 	<ul style="list-style-type: none"> • Archival value • Limitation Act 1980
Controlling the official movement of assets, including: <ul style="list-style-type: none"> • Asset Disposal Authorisation forms 	Destroy 1 year after last date on file		JISC Guidelines
6.31 Internal accounting			
Processing of internal	Destroy 1 year after		JISC Guidelines

accounting transactions <ul style="list-style-type: none"> • Cross-charge requests • Cross-charge reports 	last date on file		
6.32 Budget administration			
Monitoring of actual against planned expenditure, including: <ul style="list-style-type: none"> • Budget reports 	Destroy 1 year after last date on file		JISC Guidelines
6.33 Acquisition/disposal of investments			
Investment instructions	Transfer to RMT when file closed	Destroy 7 years after last date on file	
Investment portfolio reports	Transfer to RMT when file closed	Retain permanently	Limitation Act 1980
Share certificates	Transfer to RMT when file closed	Share certificates will be no longer be in possession of University following disposal of shares	Best Practice
6.34 Tax management			
Assessment of tax liabilities, including: <ul style="list-style-type: none"> • VAT account 	Transfer to RMT when file closed	Destroy 7 years after current tax year	Value Added Tax Act 1994
Submission of tax returns	Transfer to RMT when file closed	Destroy 7 years after current tax year	Value Added Tax Act 1994
6.35 Intellectual property management			
Registration of patents and trade marks, including: <ul style="list-style-type: none"> • Patent applications (Specification, Claims, Abstract, Patent Office forms) • Patent Certificates of Grant • Trade Mark Certificates 	Transfer to RMT when file closed	Retain permanently	Archival/legal value
Control of disclosure of intellectual property	Transfer to RMT when file closed	Destroy 7 years after disclosure	Limitation Act 1980
Administration of intellectual property agreements	Transfer to RMT when file closed	Destroy 7 years after termination of agreement	Limitation Act 1980
Intellectual property agreements	Transfer to RMT when file closed	Destroy 7 years after termination of agreement	Limitation Act 1980
Claims of infringement of intellectual property rights	Transfer to RMT when file closed	Destroy 7 years after settlement of claim	Limitation Act 1980
6.36 Routine/housekeeping records			

Day files	Destroy when reference ceases (e.g. after 3 months)		Best practice
Office diaries	Destroy 2 years after last date on file		Best practice
Circulars (full sets are held by the Central Secretariat)	Destroy when reference ceases (e.g. after 3 months)		Best practice

**GENERAL RECORDS RETENTION SCHEDULE
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