

UNIVERSITY OF ABERDEEN

RECORDS RETENTION SCHEDULES

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Table of Contents

	Page		Page
Introduction	1		
Abbreviations used	2		
 Retention Schedules:			
0. General.....	3	18. Quality Management	28
1. Teaching	4	19. Audit	29
2. Research	7	20. Legal Affairs Management	30
3. Student Administration	10	21. Government Relations Management	31
4. Student Support Services Management	14	22. HE Regulator Relations Management	32
5. Companies Management.....	16	23. Student Association Relations Management	33
6. Commercial Services Management.....	18	24. Organisational Development.....	34
7. Retail Trading Management.....	20	25. Health & Safety Management	35
8. Public Relations Management	21	26. Environmental Management	38
9. Media Relations Management	22	27. Estate Management	40
10. HE Sector Relations Management.....	23	28. Finance Management	43
11. Local Community Relations Management	24	29. Human Resources Management	47
12. Alumni Relations Management	25	30. Information Resources Management.....	53
13. Fundraising	26	31. Intellectual Property Management	57
14. Publishing.....	26	32. ICT Systems Management.....	58
15. Strategic Planning & Performance Management.....	26	33. Equipment & Consumables Management	60
16. Governance.....	27	34. Insurance Policy Management.....	62
17. Risk Management	28	35. Procurement.....	63
 List of Citations	 65		

UNIVERSITY OF ABERDEEN RECORDS RETENTION SCHEDULES

Introduction

The University is subject to the Freedom of Information (Scotland) Act 2002 and this necessitates the proper and effective management of institutional records. A Code of Practice, issued by the Scottish Executive under Section 61 of the Act specifically requires organisations to have Records Retention Schedules covering all of their institutional records, with compliance with the S61 Code being viewed as indicative of whether an organisation has complied with the overarching legislation.

The University of Aberdeen Records Retention Schedules have been developed using a model devised by the Joint Information Systems Committee (JISC). The model has been widely adopted throughout the Higher Education Sector, with Schedules being tailored to meet the specific needs of an institution. The University of Aberdeen Records Retention Schedules have been similarly developed following a process of internal consultation.

In addition to meeting our legislative and regulatory obligations, the Records Retention Schedules will promote consistency of record keeping across the University. They should eradicate unnecessary duplication of records, and enable the confident dispose of records that are no longer required by defining the periods for which records should be retained. They also stipulate the final disposal action required when records have reached the end of their retention period. The Records Retention Schedules also provide an Index of the types of records created by the University, and form a cornerstone of the University's Records Management Policy: <http://www.abdn.ac.uk/central/records-management/policy.shtml>

How to Use the Records Retention Schedules

The Schedules apply to records in all formats regardless of whether they are held on paper, electronically, microfilm or any other storage media. What is important is the **informational content of the record**. While the Schedules relate to primary and **original** records, it is accepted that it may be expedient to keep duplicate copies of documents for short term reference purposes, however it should be noted that such records should not be retained for any longer than is necessary.

The Records Retention Schedules effectively divide the University into 35 **functional** areas (e.g. *Teaching, Student Administration, Finance Management*), assigning each a separate specific Retention Schedule. To avoid repetition, record types common to all 35 functions are covered within a **General Schedule**.

While some functions align directly with sectional responsibilities (e.g. *Estates Management*) other functions will be common to a number of different areas of activity. For example, *Research*, where functions are shared between Colleges, Research and Innovation, Finance etc. This functional approach allows the Schedules to be flexible, enabling areas that carry out the same functions to treat their records in a consistent fashion, but also reflecting that while the structure of the University may change over time, the functions of the institution stay largely the same, meaning the retention schedules remain applicable.

The types of records created by each function are systematically defined and described within the Schedules. For each type of record, the description is followed by a recommended **minimum** period of retention. If the retention of the records is determined by an Act of Parliament, Statutory Instrument etc., this is detailed in the column headed "Citation" (a list of cited Acts etc. is included at Appendix A). An Asterisk (*) after a retention period and citation denotes statutory retention periods. References to, for example, **+ 6 etc.** indicate the additional number of years after the initial period of retention for which records should be kept (e.g. CFY + 6 denotes a total retention period of the Current Financial Year plus a further 6 years).

The final column indicates the ultimate disposal of the records once a stated retention period has been reached: “*Destroy*” is self-explanatory and in most cases the “*Shred-It*” bins can be used to dispose of paper records (*note: where unusual or large quantities of waste are involved special arrangements may need to be made with the University Environment & Waste Manager*). Where the action stipulates “*Archive*” this means preservation of the records in perpetuity by transferring the records to the custody of the University Archivist.

Abbreviations used

CAY Current Academic Year

CFY Current financial year

CTY Current tax year

May 2007

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GENERAL

Ref	Description	Retention	Citation	Action
0	GENERAL These 5 functions are common to all the categories 1-35 unless otherwise indicated			
0.1	Strategy Development			
	Records of developing & establishing strategy	Superseded +10 years	JISC guidelines	Archive
0.2	Planning			
	Records of formulating plans for implementing the strategy	Superseded +10 years	JISC guidelines	Archive
0.3	Performance Management			
	Data & analyses of performance against the plans for implementing the strategy	CAY +3 years	Internal guidelines	Destroy
	Reports of performance against plans for implementing the strategy	CAY +3 year	Internal guidelines	Archive
	Records of the conduct & results of audits & reviews of performance, & responses to the results	CAY +3 year	Internal guidelines	Archive
0.4	Policy Development			
	Records of developing & establishing policies	Superseded +10 years	JISC guidelines	Archive
0.5	Procedures Development			
	Records of developing & establishing procedures	Superseded +5 years	JISC guidelines	Archive

TEACHING

Ref	Description	Retention	Citation	Action
1	TEACHING Scope: Providing teaching to deliver the taught programmes, including both undergraduate & postgraduate programmes leading to awards			
1.1-5	See General retention schedule			
1.6	Teaching Quality & Standards Management			
	Records of the development of internal quality assurance processes	Current	JISC guidelines	Archive
	Records of the conduct & results of formal internal & external reviews & audits of teaching quality, & responses to the results	CAY +6 years	Internal guidelines from Registry (internal audit cycle)	Archive
1.7	Taught Curriculum Development			
	Records of developing the taught curriculum	Superseded +10 years	JISC guidelines	Archive
	Records of monitoring external developments & trends to inform the development of the taught curriculum	CAY +5 years	JISC guidelines	Destroy
1.8	Taught Curriculum Review			
	Records of routine & ad hoc feedback on the taught curriculum from staff, students, external examiners & others	CAY +5 years	JISC guidelines	Destroy
	Records of the conduct & results of formal reviews of the taught curriculum, & the responses to the results	CAY +10 years	JISC guidelines	Archive
1.9	Taught Programme Development			
	Records of developing taught programmes	Life of programme +10 years	JISC guidelines	Archive
	Records monitoring external developments & trends (including developments in other HE institutions) to inform the development of taught programmes	CAY +1 years	JISC guidelines	Destroy
1.10	Taught Programme Approval & Accreditation			
	Records of obtaining approval &/or accreditation for taught programmes from professional, statutory or other accreditation bodies	Life of programme + 10 years	JISC guidelines	Destroy

1.11	Taught Programme Review			
	Data on & analyses of student numbers & other taught programme statistics	CAY +5 years	JISC guidelines	Archive
	Routine solicited feedback on taught programmes from staff & examiners: individual feedback	CAY +5 years	JISC guidelines	Destroy
	Routine solicited feedback on taught programmes from students: individual feedback	Completion of analysis of feedback	JISC guidelines	Destroy
	Reports of routine internal reviews of taught programmes	CAY +5 years	JISC guidelines	Archive
	Records of the conduct & results of formal independent reviews of taught programmes, & the response to results	CAY +5 years	JISC guidelines	Archive
1.12	Taught Course Development			
	Records of developing taught courses	Life of course +10 years	JISC guidelines	Archive
	Records of monitoring external developments (including developments in other HE institutions) & trends to inform the development of taught courses	CAY +1 years	JISC guidelines	Destroy
1.13	Taught Course Preparation & Delivery			
	Records of developing taught course materials & final versions of taught course materials	Course life +3 years	Internal guidelines	Destroy
	Working papers of the planning & conduct of teaching events	CAY +1 year	JISC guidelines	Destroy
1.14	Taught Course Review			
	Data on & analyses of students numbers & other taught course statistics	CAY +5 years	Internal guidelines	Archive
	Records of routine feedback on taught courses from staff & examiners: individual feedback	CAY +5 years	JISC guidelines	Destroy
	Records of routine solicited feedback on taught courses from students: individual feedback	Completion of analysis of feedback	JISC guidelines	Destroy
	Records of (anonymised) summaries & analyses of routine solicited feedback on taught courses from staff, examiners & students	CAY +5 years	JISC guidelines	Destroy
	Reports of routine internal reviews of taught courses	CAY +5 years	JISC guidelines	Archive
	Records of the conduct & results of formal reviews of taught courses, & the responses to the results	CAY +5 years	JISC guidelines	Archive

1.15	Taught Course Assessment			
	Records of developing taught course assessments & final versions of taught course assessments	Life of course	JISC guidelines	Archive
	Taught course students' submitted/completed assessments, including exam scripts	CAY +2 years N.B. <i>Some scripts should also be kept for 6 years to allow Departments or academic reviewers to sample marking in regard to any changes in or review of, academic standards.</i> <i>Successful research student theses are stored in the Library permanently</i>	JISC guidelines	Destroy
	Records of marks awarded to submitted/completed assessments, including reviews in response to notifications of mitigating circumstances & academic appeals	CAY +10 years	Internal guidelines	Destroy
1.16	Taught Student Academic Support (Tutorial Support)			
	Records of feedback on academic progress, & general academic guidance & support, given to individual taught students	Completion of student's programme +6 years	1973 c.52	Destroy

RESEARCH

Ref	Description	Retention	Citation	Action
2	RESEARCH Scope: Undertaking research & delivering supervised research programmes.			
2.1-5	See General retention schedule			
2.6	Research Quality & Standards Management			
	Records of developing internal quality assurance processes	While current	JISC guidelines	Archive
	Records of the conduct & results of formal internal & external reviews of research quality & standards, & responses to the results	CAY +10 years	JISC guidelines	Archive
2.7	Research Business Development			
	Records of liaison with research sponsors to monitor their research policies & to promote the University's capabilities	CAY +5 years	JISC guidelines	Destroy
	Records of identifying & exploring new research opportunities which lead to research projects	Completion of project	JISC guidelines	Archive
	Records of identifying & exploring new research opportunities which do not lead to research projects	Last action +5 years	JISC guidelines	Destroy
	Records of forming & managing partnerships & other collaborative arrangements to undertake research	Life of partnership/ arrangement +5 years	1973 c.52	Archive
2.8	Research Project Development			
	Records of the design of research projects & the preparation of formal research project proposals which lead to research projects	Completion of project +5 years	JISC guidelines	Archive
	Records of the design of research projects & the preparation of formal research project proposals which do not lead to research projects	Last action +5 years	JISC guidelines	Archive
2.9	Research Project Conduct			
	Retention requirements for research data & records will need to be determined on a project by project basis, or at least for clearly defined categories of projects, taking account of: <ul style="list-style-type: none"> • the legal & regulatory framework for particular types of research • the terms & conditions imposed by external research sponsors • the commercial, political or ethical sensitivity of particular types of research, or any research for particular external sponsors 			
	Final reports of all research projects	Completion of project +5 years	JISC guidelines	Archive

2.10	Research Project Management			
	Records of the management of internally <i>and/or</i> externally-funded research projects	Completion of project +6 years	JISC guidelines 1973 c.52	Destroy
	Final reports of all research projects	Completion of project +5 years	JISC guidelines	Archive
2.11	Research Dissemination			
	Records of announcements of research results other than in publications or through the media	Issue of announcement +1 year	JISC guidelines	Destroy
	Records of the preparation of publications, audio-visual presentations, demonstrations or other means of disseminating research results	Publication/ delivery +1 year	JISC guidelines	Destroy
	Final versions of publications, presentations etc	Publication/ delivery +3 years	JISC guidelines	Archive
2.12	Research Exploitation			
	Records of identifying new intellectual property & liaison with specialists regarding applications for patents etc	Last action on issue +5 years	JISC guidelines	Archive
	Records of identifying opportunities for commercial exploitation of research results & liaison with specialist staff regarding formation of spin-out companies to develop commercial products	Last action on issue +5 years	JISC guidelines	Archive
2.13	Research Programme Development			
	Records of developing research programmes	Life of programme +10 years	JISC guidelines	Archive
	Records of routine monitoring of external developments & trends to inform the development of research programmes	CAY +1 year	JISC guidelines	Destroy
2.14	Research Programme Review			
	Records of data on & analyses of student numbers & other programme statistics	CAY +3 years	JISC guidelines	Archive
	Reports of routine internal or formal independent reviews of research programmes & the responses to the results	CAY +5 years	JISC guidelines	Archive
2.15	Research Student Assessment			
	Records of the conduct of formal assessments of work undertaken by research students	Completion of student's programme +6 years	1973 c.52	Destroy
	Records of awards & classifications including reviews in response to notifications of mitigating circumstances or academic appeals	CAY +6 years	1973 c.52	Destroy

2.16	Research Student Academic Supervision & Support			
	Records of the appointment of supervisors for research students	End of appointment +3 years	Internal guidelines	Destroy
	Records of academic advice & guidance to individual students on the selection of research subjects & on the progress & standard of their work	Completion of student's programme +6 years	1973 c.52	Destroy
	Records of developing & delivering training in research-related skills	CAY +5 years	JISC guidelines	Destroy

STUDENT ADMINISTRATION

Ref	Description	Retention	Citation	Action
3	STUDENT ADMINISTRATION Scope: Recruiting & administration of the student population			
3.1-5	See General retention schedule			
3.6	Student Recruitment			
	Records of the design, conduct & summary results of student recruitment campaigns and events	Completion of campaign +5 years	JISC guidelines	Archive
	Records of the issue of student recruitment materials in bulk to schools & other organisations	CAY	JISC guidelines	Destroy
	Records of the handling of enquiries from prospective students	CAY +1 year	JISC guidelines	Destroy
3.7	Student Admission			
	Records of developing & establishing admission criteria	Superseded +10 years	JISC guidelines	Archive
	Records of the handling of applications for admission: successful applications	Minimum required: Student Admissions maintains electronic records and a paper copy of the application. The electronic record is kept for 2 to 3 years and then archived according to the instructions of the Registry. The paper copy of those who come to the University are kept for the duration of their studies, plus one year beyond graduation, then destroyed	1973 c.52 Internal guidelines	Destroy
	Records of the handling of applications for admission: unsuccessful applications	Minimum required: Student admissions maintains electronic records and a paper copy of the applications. The electronic record is kept for 2 to 3 years and then archived according to the instructions of the Registry. Unsuccessful applications or those who declined the offer, are kept in paper form for one year and then destroyed	1973 c.52 Internal guidelines	Destroy

3.10	Student Records Administration			
	Records with personal data on individual students	Minimum required. Variable for different types of personal data Recommended maximum retention: End of 'registered student' relationship with institution + 6 years	1973 c.52 Retention period must comply with the provisions of the Data Protection Act 1998	Destroy
	Records of standard analyses of data from individual students' records	CAY +5 years	JISC guidelines	Archive
	Records of the handling of requests for ad hoc analyses of data from individual students' records	Last action on request +1 year	JISC guidelines	Destroy
	Records of the handling of individual students' requests for statements of results/transcripts	Last action on request +1 year	JISC guidelines	Destroy
	Records of the handling of requests for confirmation of individual students' awards, attendance or conduct from employers & other educational institutions	Last action on request +1 year	JISC guidelines	Destroy
	Records of the design & conduct of First Destination Surveys	CAY +5 years	JISC guidelines	Destroy
	First Destination Surveys: individual responses	Completion of analyses of responses	JISC guidelines	Destroy
	Records of (anonymised) summaries & analyses of the results of First Destination Surveys	CAY +5 years	JISC guidelines	Archive
3.11	Student Progress Administration			
	Records of the academic progress of individual students & formal action taken to deal with unsatisfactory progress	CAY + 4 years	Internal guidelines (Registry)	Archive
	Records of individual students transferring to new programmes or to new courses within programmes	End of relationship with student +6 years	1973 c.52	Archive
	Records of individual students withdrawing from Aberdeen University	CAY + 3 years	Internal guidelines (Registry)	Archive
3.12	Student Disciplinary Case Handling			
	Records of the conduct & results of disciplinary proceedings against individual students	CAY + 1 year after student has graduated / completed studies or lapsed	Internal guidelines (Registry)	Destroy

3.13	Student Academic Appeal Handling			
	Records of the handling & results of academic appeals by individual students	CAY + 1 year after student has graduated / completed studies or lapsed	Internal guidelines (Registry)	Destroy
3.14	Student Complaint Handling			
	Records of the handling of formal complaints by individual students	CAY + 1 year after student has graduated / completed studies or lapsed	Internal guidelines (Registry)	Destroy
	Records of the handling of complaints by individual students where the formal complaints procedure is not initiated	CAY + 1 year after student has graduated / completed studies or lapsed	Internal guidelines (Registry)	Destroy
3.15	Course administration			
	Records of the timetabling of teaching & management of teaching space	CAY	JISC guidelines	Destroy
	Class/tutorial lists	CAY	JISC guidelines	Destroy
	Schedules for submission, marking & return of coursework	CAY	JISC guidelines	Destroy
	Records of individual students' submission of coursework	CAY +1 year	JISC guidelines	Destroy
	Records of individual students' attendance	CAY +1 year	JISC guidelines	Destroy
	Records of the organisation of students' work placements	End of placement +6 years	1995 c.50	Destroy
3.16	Assessment Administration			
	Records of the development & establishment of assessment & examination rules & procedures	Superseded +10 years	JISC guidelines	Archive
	Records of the selection & appointment of external examiners & examination invigilators	End of appointment +1 year	JISC guidelines	Destroy
	Records of liaison with external examiners on administrative matters	CAY +1 year	JISC guidelines	Destroy
	Records of the design & delivery of training for examination invigilators	CAY +1 year	JISC guidelines	Destroy
	Records of the control of examination papers & examination scripts	CAY +1 year	JISC guidelines	Destroy
	Records of the timetabling of examinations	CAY +1 year	JISC guidelines	Destroy

	Records of the organisation of examination facilities, including special arrangements for students with special needs	CAY +1 year	JISC guidelines	Destroy
	Records of individual students' attendance at examinations, & the handling of reports of mitigating circumstances	CAY +1 year	JISC guidelines	Destroy
	Records of the collation of examination results & compilation of pass lists & individual notifications of results	CAY +1 year	JISC guidelines	Destroy
	Records of individual students' submission of assessed work & handling of reports of mitigating circumstances	CAY +4 years	JISC guidelines	Destroy
	Pass lists/Awards lists	Issue of lists +10 years	JISC guidelines	Archive: Consider implications of 1998 c.29
3.17	Award Ceremony Administration			
	Records of the organisation of award ceremonies	Completion of ceremony +1 year	JISC guidelines	Destroy
	Records of the production of award certificates	Completion of ceremony +1 year	JISC guidelines	Destroy
	Records of the mailing of award certificates to students who do not attend ceremonies	Completion of ceremony +1 year	JISC guidelines	Destroy
3.18	Student Relations Management			
	Records of the establishment & operation of staff-student liaison committees	Life of committee +3 years	JISC guidelines	Archive
	Records of the election &/or appointment of student representatives to committees	Completion of next election	JISC guidelines	Destroy
	Records of the design, development & delivery of training for elected student representatives	Superseded +1 year	JISC guidelines	Destroy
	Records of the design & conduct of student surveys	Completion of survey +5 years	JISC guidelines	Archive
	Results of student surveys: individual responses	Completion of analysis of responses	JISC guidelines	Destroy
	Results of student surveys : summaries & analyses of responses	Completion of survey +5 years	JISC guidelines	Archive
	Records of the design of, & overall responses to, student suggestion schemes	Closure of scheme +5 years	JISC guidelines	Archive
	Records of the handling of suggestions from individual students	Last action on suggestion + 1 year	JISC guidelines	Destroy

STUDENT SUPPORT SERVICES MANAGEMENT

Please note: Activities 4.1–4.5 set out the framework for the overall management of all student support services within the University. Activities 4.6–4.14 set out a framework for the management of any individual student support service.

These services may be: managed & provided directly; specified by the University but managed & provided by a third party organisation under contract; managed & provided as a joint venture with other institutions; managed & provided by the Students' Association.

Use this section for services which are provided free of charge or on a cost recovery basis. For services & facilities operated on a commercial basis, use *6 Commercial Services Management*.

For academic support, use **1.16: Teaching – Taught Student Academic Support** or **2.16: Research – Student Academic Supervision & Support**

For managing internal services provided to support students with their academic work (e.g. Centre for Lifelong Learning support services), set up a customised section in **36: Internal Services Management**.

For managing land, buildings & facilities associated with providing student support services, use the appropriate section(s) of **27: Estate Management**

For managing finance associated with providing student support services, use the appropriate section of **28: Finance Management**

Ref	Description	Retention	Citation	Action
4	STUDENT SUPPORT SERVICES MANAGEMENT Scope: Providing services to support students throughout their relationship with the University.			
4.1-5	See General retention schedule			
4.6	Student Support Service Proposal Development			
	Records of developing & evaluating a proposal to set up a student support service where a decision is made to proceed	Life of service	JISC guidelines	Archive
	Records of developing & evaluating a proposal to set up a student support service where a decision is made not to proceed	Last action on proposal +5 years	JISC guidelines	Archive
4.7	Student Support Service Planning			
	Records of planning a student support service	CAY +5 years	JISC guidelines	Archive
4.8	Student Support Service Performance Management			
	Records of performance indicators for a student support service	While current	JISC guidelines	Destroy
	Data on & analyses of performance against plans	CAY +1 year	JISC guidelines	Destroy
	Reports of service performance against plans	CAY +5 years	JISC guidelines	Archive
	Reports of the conduct & results of formal audits & reviews of a student support service, & responses to the results	CAY +5 years	JISC guidelines	Archive

4.9	Student Support Service Policy Development			
	Records of developing & establishing policies on operating, managing & developing a student support service	Superseded +5 years	JISC guidelines	Archive
4.10	Student Support Service Procedures Development			
	Records of developing procedures for operating, managing & developing a student support service	Superseded +3 years	JISC guidelines	Destroy
4.11	Student Support Service Quality Management			
	Records of developing & establishing service standards for a student support service	Superseded +1 year	JISC guidelines	Destroy
	Data on & analyses of the quality of service delivered against established service standards	Current year +1 year	JISC guidelines	Destroy
	Reports on service quality	Current year +3 years	JISC guidelines	Archive
	Records of the conduct & results of independent reviews of service quality, & the responses to the results	Current year +5 years	JISC guidelines	Archive
4.12	Student Support Service Promotion			
	Records of promoting a student support service	While current	JISC guidelines	Archive
4.13	Student Support Service Delivery			
	Retention requirements for records generated by individual student support services such as Counselling, Chaplains or ASA must be determined on a case by case basis, taking account of: <ul style="list-style-type: none"> • the type of service being provided • the legal and regulatory framework for providing particular types of services • the need to manage personal data on individual students in accordance with the provisions of the Data Protection Act 1998 			
4.14	Student Support Service Customer Relations Management			
	Records of the design & conduct of user/customer surveys for student support service	Completion of survey +3 years	JISC guidelines	Archive
	Results of user/customer surveys: individual responses	Completion of analysis of survey responses	JISC guidelines	Destroy
	Results of student surveys summaries & analyses of responses	Completion of survey +5 years	Internal guidelines	Archive
	Records of the handling of user/customer complaints about a student support service	Last action on complaint +6 years	1973 c.52	Archive

COMPANIES MANAGEMENT

Related companies are those over which Aberdeen University has control or exercises a substantial degree of influence. They might include: companies formed to provide commercial services; companies formed to exploit the commercial potential of research & intellectual property assets; companies formed to conduct joint ventures. Once established, related companies are independent legal entities & therefore the management of their records is outside the scope of this schedule.

It should be noted that companies that are wholly owned by Aberdeen University are subject to the Freedom of Information (Scotland) Act 2002.

Ref	Description	Retention	Citation	Action
5	COMPANIES MANAGEMENT Scope: The function of managing companies operated & managed wholly or partially by the University.			
5.1-5	See General retention schedule			
5.6	Company Proposal Development			
	Records of developing & evaluating a proposal to form a company where a decision is made to proceed	Life of company +10 years	JISC guidelines	Archive
	Records of developing & evaluating a proposal to form a company where a decision is made not to proceed	Last action on proposal +5 years	JISC guidelines	Archive
5.7	Company Formation			
	Records of forming a related company	Life of company +10 years	JISC guidelines	Archive
5.8	Company Management			
	Records of action to ensure that a related company is conducting business in line with established agreements & company law	Current year +5 years	JISC guidelines	Archive
5.9	Company Review			
	Records of the conduct & results of regular reviews (including internal & external audits) of a company's performance against plans, including budgets	Current year +5 years	JISC guidelines	Destroy
	Records of action taken to ensure that a company has proper operating procedures in place, & that they are being implemented	Current year +5 years	JISC guidelines	Destroy
	Annual report & accounts of a company	Life of company +10 years	JISC guidelines	Archive

5.10	Company Disposal			
	Records of the disposal of a company (or Aberdeen University's interest in it) by winding-up or sale	Disposal +10 years	JISC guidelines	Archive

COMMERCIAL SERVICES MANAGEMENT

Ref	Description	Retention	Citation	Action
6	COMMERCIAL SERVICES MANAGEMENT Scope: The function of managing services provided by the University to students, staff, the local community, the general public or businesses on a commercial basis to generate income.			
6.1-5	See General retention schedule			
6.6-10	These functions have been removed			
6.11	Commercial Service Quality Management			
	Records of developing & establishing service standards for a commercial service	Superseded +3 years	JISC guidelines	Destroy
	Data on, & analyses of, the quality of service delivered against the established service standards	Current year +1 year	JISC guidelines	Destroy
	Records of the conduct & results of independent reviews of service quality, & responses to the results	Current year +5 years	JISC guidelines	Archive
6.12	Commercial Service Promotion			
	Records of developing & assessing promotional campaigns & materials for a commercial service	Superseded +1 year	JISC guidelines	Destroy
	Promotional materials	While current	JISC guidelines	Archive
6.13	Commercial Service Delivery In addition to the records below, retention requirements for records for individual services will need to be determined on a case by case basis, taking account of: <ul style="list-style-type: none"> • the type of service • the legal & regulatory framework for particular services • the need to manage personal data on service customers in line with the Data Protection Act 1998 			
	Records of service proposals for individual customers where the proposal is accepted	End of contract +6 years	1973 c.52	Archive
	Records of service proposals for individual customers where the proposal is not accepted	Rejection of proposal +5 years	JISC guidelines	Destroy

6.14	Commercial Service Customer Relations Management			
	Records of the design & conduct of customer surveys	Completion of survey +3 years	JISC guidelines	Archive
	Results of customer surveys: individual responses	Completion of analysis of survey responses	JISC guidelines	Destroy
	Results of customer surveys: summaries & analyses of responses	Completion of survey +3 years	JISC guidelines	Archive
	Unsolicited customer feedback on the service, the internal handling of the feedback & the responses provided	Last action on feedback +3 years	JISC guidelines	Destroy
	Customer complaints about the service, the internal handling of those complaints & the responses provided	Last action on complaint + 6 years	1973 c.52	Destroy

RETAIL TRADING MANAGEMENT

For managing land, buildings & facilities associated with retail trading, use the appropriate section of: *27 Estate Management*.

For managing finance associated with retail trading, use the appropriate section of: *28 Finance Management*.

Ref	Description	Retention	Citation	Action
7	RETAIL TRADING MANAGEMENT Scope: The function of managing retail outlets operated & managed directly by the University.			
7.1-5	See General retention schedule			
7.6-10	These functions have been removed			
7.11	Retail Outlet Promotion			
	Records of developing promotional campaigns & materials for a retail outlet	Superseded +1 year	JISC guidelines	Destroy
	Promotional materials	While current	JISC guidelines	Archive
7.12	Retail Outlet Operation In addition to the records below, retention requirements for records of retail sales will need to be determined on a case by case basis, taking account of: <ul style="list-style-type: none"> • the type of service • the legal & regulatory framework for sales of particular products • the need to manage personal data on retail customers in line with the Data Protection Act 1998 			
	Records of retail sales transactions	Current financial year +6 years *	1973 c.52 HM Customs & Excise Notice 700/21	Destroy
7.13	Retail Outlet Customer Relations Management			
	Records of the design & conduct of customer surveys	Completion of survey +3 years	JISC guidelines	Archive
	Results of customer surveys: individual responses	Completion of analysis of survey responses	JISC guidelines	Destroy
	Results of customer surveys: summaries & analyses of responses	Completion of survey +3 years	JISC guidelines	Archive
	Unsolicited customer feedback on the retail outlet, the internal handling of the feedback & the responses provided	Last action on feedback +3 years	JISC guidelines	Destroy
	Customer complaints about the service, the internal handling of those complaints & the responses provided	Last action on complaint + 6 years	1973 c.52	Destroy

PUBLIC RELATIONS MANAGEMENT

Ref	Description	Retention	Citation	Action
8	PUBLIC RELATIONS MANAGEMENT Scope: Raising & maintaining Aberdeen University's public profile, & managing its relationships with groups or individual members of the public.			
8.1-5	See General retention schedule			
8.6	Public Communication Management			
	Enquiries or feedback from members of the public & the responses provided	Last action on enquiry +1 year	JISC guidelines	Weed & Archive
	Records of the design & conduct of surveys to assess public attitudes towards the University	Completion of survey +3 years	JISC guidelines	Archive
	Results of public surveys: individual responses	Completion of analysis of survey responses	JISC guidelines	Destroy
	Complaints from members of the public, the internal handling of those complaints & the responses provided	Last action on complaint + 1 year	JISC guidelines	Weed & Archive
8.7	Public Relations Event Management			
	Records of the planning, administration & impact/results of public events	Completion of event +3 years	JISC guidelines	Destroy
8.8	Corporate Identity & Brand Management			
	Records of the design of Aberdeen University's corporate identity marks (logos etc)	While current	JISC guidelines	Archive
8.9	Sponsorship Management			
	Records of negotiating corporate sponsorship of public events by Aberdeen University	End of sponsor relationship +5 years	JISC guidelines	Archive
8.10	Donation Management			
	Records of managing relationships with donors to Aberdeen University (other than in response to fundraising campaigns)	Duration of relationship +6 years	1973 c.52	Archive
	Records of the process of making donations to third parties	Last action on donation +6 years	1973 c.52	Archive
8.11	Honorary Award Management			
	Nominations for honorary awards & decisions made on individual nominations	Current academic year +10 years	JISC guidelines	Archive

MEDIA RELATIONS MANAGEMENT

Ref	Description	Retention	Citation	Action
9	MEDIA RELATIONS MANAGEMENT			
9.1-5	See General retention schedule			
9.6	Media Communication Management			
	Records of media contacts.	Superseded	JISC guidelines	Destroy
	Records of the planning & organisation of media briefings & interviews	Last action on briefing +1 year	JISC guidelines	Destroy
	Transcripts of media briefings & interviews	Last action on briefing +1 year	JISC guidelines	Destroy
	Press releases	Issue +5 years	JISC guidelines	Archive
	Media enquiries, the handling of these enquiries & responses provided	Last action on enquiry +5 years	JISC guidelines	Destroy
	Records of monitoring & analysing media coverage e.g. <i>press cuttings</i>	Creation +5 years	JISC guidelines	Archive

HE SECTOR RELATIONS MANAGEMENT

Activities include: establishing & maintaining membership of professional associations, learned bodies & other organisations; participating in the activities of these organisations; liaising & collaborating with other institutions on projects of mutual interest.

Ref	Description	Retention	Citation	Action
10	HE SECTOR RELATIONS MANAGEMENT Scope: Managing relationships with other HE institutions, other educational institutions, professional associations & learned bodies in the HE sector.			
10.1-5	See General retention schedule			
10.6	HE Sector Communications Management			
	Records of general communications with other HE institutions, other educational institutions, professional associations & learned bodies	Current year +2 years	JISC guidelines	Archive
	Records of producing publications specifically intended for the HE sector	Publication +2 years	JISC guidelines	Destroy
	Publications	While current +1 year	JISC guidelines	Destroy
	General enquiries from institutions & other bodies in the sector, the internal handling of those enquiries & the responses given	Last action on enquiry +1 year	Internal guidelines	Archive
10.7	HE Sector Relations Event Management			
	Records of the organisation, planning & impact/results of events for the HE sector	Completion of event +3 years	JISC guidelines	Review for archival value
10.8	HE Sector Organisations Membership Administration			
	Records of establishing & maintaining corporate or individual (institutionally-funded) membership of professional organisations & other organisations in the HE sector	Renewal/ end of membership +1 year	JISC guidelines	Archive
	Records of official responses to surveys & consultations conducted by professional & other organisations in the HE sector	Completion of response +1 year	JISC guidelines	Archive
	Records of official representation on committees of professional & other organisations in the sector	Organisation membership end	JISC guidelines	Review for archival value

LOCAL COMMUNITY RELATIONS MANAGEMENT

For formal dialogue with the local community through Senate etc, use the appropriate section of 16: *Governance*

Ref	Description	Retention	Citation	Action
11	LOCAL COMMUNITY RELATIONS MANAGEMENT Scope: Establishing, maintaining & fostering relationships with the local community, covering local government, charities, & other organisations, generally carried out by Department of External Affairs, Principal's Office etc.			
11.1-5	See General retention schedule			
11.6	Community Communication Management			
	Enquiries or feedback from members of the local community & the responses provided	Last action on enquiry +1	JISC guidelines	Weed & Archive
	Records of the design conduct and results of surveys to assess attitudes towards the University in the local community	Completion of survey +3	JISC guidelines	Archive
	Complaints from members of the local community, the internal handling of those complaints & the responses provided	Last action on complaint + 1	JISC guidelines	Weed & Archive
11.7	Community Relations Event Management			
	Records of the planning & impact / results of events for the local community	Completion of event +3	JISC guidelines	Destroy

ALUMNI RELATIONS MANAGEMENT

For dealing with individual former students (e.g. for confirmation of awards), use the appropriate section of **3: Student Administration**.

For fundraising activities targeted at alumni, use the appropriate section of **13: Fundraising**.

Ref	Description	Retention	Citation	Action
12	ALUMNI RELATIONS MANAGEMENT Scope: Maintaining & fostering relationships with former alumni			
12.1-5	See General retention schedule			
12.6	Alumni Data Administration			
	Records with personal data on individual alumni	While current (or likely to be current)	Retention must comply with provisions of 1998 c.29	Review for archival value
	Summary (anonymised) statistical records of alumni	Current year +10 years	JISC guidelines	Archive
12.7	Alumni Communication Management			
	Records of the design, planning & production of official alumni communications	Issue of communication +1 year	JISC guidelines	Destroy
	Alumni communications	Issue +1 year	JISC guidelines	Archive
	Records of the design & conduct of alumni surveys; summaries and analyses of the responses provided	Completion of survey +3 years	JISC guidelines	Archive
12.8	Alumni Relations Event Management			
	Records of the organisation & administration of institutional events for alumni	Completion of event +1 year	JISC guidelines	Destroy
	Records of the administration of financial & other support to individual alumni organisations	CFY +1 year	JISC guidelines	Destroy
12.9	Alumni Support			
	Records of the administration of financial & other support to alumni organisations	CFY +1 year	JISC guidelines	Destroy
	Records of requests for contact details for alumni, action taken & the responses provided	Last action on request +1 year	JISC guidelines	Destroy

FUNDRAISING

Ref	Description	Retention	Citation	Action
13	FUNDRAISING Scope: Raising revenue additional to that provided by the main funding bodies, to support & develop the estate, activities & operations.			
13.1-5	See General retention schedule			
13.6	Fundraising Campaign Management			
	Records of the design, conduct & summary results of fundraising campaigns.	Last action on campaign +5 years	JISC guidelines	Archive
	Records of negative individual responses to fundraising campaigns	Completion of analysis of data	1998 c.29	Destroy
	Records of positive individual responses to fundraising campaigns	Completion of analysis of data	Internal guidelines	Archive

PUBLISHING

Ref	Description	Retention	Citation	Action
14	PUBLISHING Scope: Producing publications, including material published in any medium & format, for distribution internally or externally.			
14.1-5	See General retention schedule			
14.6	Publication Management			
	Records of the design, commissioning, editing & production of publications.	Issue of publication + 1 year	JISC guidelines	Destroy
	Records of developing marketing plans for publications.	Life of publication	JISC guidelines	Destroy

STRATEGIC PLANNING & PERFORMANCE MANAGEMENT

Ref	Description	Retention	Citation	Action
15	STRATEGIC PLANNING & PERFORMANCE MANAGEMENT Scope: Developing and establishing the University's overall strategy, developing its strategic plan and managing its overall performance against the plan.			
15.1-5	See General retention schedule			

GOVERNANCE

Ref	Description	Retention	Citation	Action
16	GOVERNANCE Scope: Developing the corporate governance structure & rules, & conducting business in accordance with those rules (the University and its Colleges).			
16.1	Legal Framework Development			
	Records of the establishment & development of the legal framework	Life of the University/Colleges	JISC guidelines	Archive
16.2	Governance Structure Development			
	Records of the establishment & development of the governance structure	Life of the University/Colleges	JISC guidelines	Archive
16.3	Senate and Court			
	Records of appointments	End of membership +6 years	1973 c.52	Archive
	Records of providing training & development for members of Senate / Court	Current year +4 years	Internal guidelines	Destroy
	Records of organising meetings of Senate / Court	Current year +1 years	JISC guidelines	Destroy
	Records of the conduct & proceedings of Senate / Court	Current year +10 years	Internal guidelines	Archive
16.4	Committee Management			
	Records of developing & establishing terms of reference for executive committees	Life of committee	JISC guidelines	Archive
	Records of the appointment of committee members	End of appointment +5 years	JISC guidelines	Archive
	Records of committee members' training & development	Current year +4 years	JISC guidelines	Destroy
	Records of organising committee meetings	Current year +1 year	JISC guidelines	Destroy
16.5	Senior Officers' Appointment Management			
	Records of the appointment & designation of the senior officers	End of appointment +5 years	JISC guidelines	Archive

RISK MANAGEMENT

Ref	Description	Retention	Citation	Action
17	RISK MANAGEMENT Scope: The activities involved in managing identified risks to the viability or success of the University.			
17.1-5	See General retention schedule			
17.6	Risk Identification & Assessment			
	Records of identifying risks & assessing those risks	Superseded +3 years	Internal guidelines	Archive
17.7	Business Continuity Planning			
	Records of formulating, testing & maintaining disaster response & recovery plans	Superseded +3 year	Internal guidelines	Archive

QUALITY MANAGEMENT

For managing teaching quality & Standards, use *1.6 Teaching – Teaching Quality & Standards Management*.

For managing research quality & Standards, use *2.6 Research – Research Quality & Standards Management*.

Ref	Description	Retention	Citation	Action
18	QUALITY MANAGEMENT Scope: Managing overall quality in the institution.			
18.1-5	See General retention schedule			
18.6	Quality Audit			
	Records of the conduct & results of quality audits, & action taken to address issues raised	Completion of audit +3 years	JISC guidelines	Archive
18.7	Quality Management Scheme Accreditation Management			
	Records of attaining & maintaining accreditation under established independent quality management schemes	End of accreditation +1 year	JISC guidelines	Archive

AUDIT

For engaging external auditors, use the appropriate section of: 35 – *Procurement*.

For conducting financial audits, use: 28.6 – *Finance Management – Financial Audit*.

For conducting health & safety audits, use: 25.6 – *Health & Safety Management – Health & Safety Audit*.

For conducting environmental audits, use: 26.6 – *Environmental Management – Environmental Audit*.

Ref	Description	Retention	Citation	Action
19	AUDIT Scope: Conducting audits, both internal & external, of the University's affairs & operations for internal control purposes & to ensure compliance with institutional, industry or legal requirements.			
19.1-5	See General retention schedule			
19.6	Audit Management			
	Records of the conduct & results of audits, & action taken to address issues raised	Completion of audit +3 years	Internal guidelines	Archive

LEGAL AFFAIRS MANAGEMENT

Legal services may be provided by employees or external legal advisers.

For engaging external legal advisers, use the appropriate section of: *35 Procurement*.

Ref	Description	Retention	Citation	Action
20	LEGAL AFFAIRS MANAGEMENT			
20.1-2	See General retention schedule			
20.3	Contracts & Agreements Management			
	Records of legal support for negotiating, establishing & reviewing substantive contracts & agreements with third parties: i.e. substantive agreements & contracts under seal	End of contract +12 years	1973 c.52	Review for archival value
	Records of legal support for negotiating, establishing & reviewing contracts & agreements with others: other contracts & agreements	End of contract +6 years	1973 c.52	Review for archival value
20.4	Legal Claims Management			
	Records of provision of legal support & representation in dealing with claims by or against the University which do not proceed to litigation or settlement by an agreement	Settlement OR withdrawal of claim +6 years	1973 c.52	Review for archival value
20.5	Litigation Management			
	Records of litigation with third parties where legal precedents affecting the University were set	Life of the University	1973 c.52	Archive
	Records of litigation with third parties where legal precedents were not set	Settlement of case +6 years	1973 c.52	Review for archival value
20.6	Legal Interpretation & Advice Provision			
	Records of legal advice requested by & provided to the University concerning: <ul style="list-style-type: none"> • interpretation of legislation affecting the University's legal framework, governance; • responsibilities or operations • proposals for new legislation affecting the University's legal framework, governance, responsibilities or operations • relationships with government bodies & HE regulators • industrial relation issues • health, safety & environmental issues 	Life of the University	JISC guidelines	Archive

	Records of legal advice on other matters requested by & provided to the University.	Superseded +5 years	JISC guidelines	Destroy
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GOVERNMENT RELATIONS MANAGEMENT

Ref	Description	Retention	Citation	Action
21	GOVERNMENT RELATIONS MANAGEMENT Scope: Managing the overall relationship with government departments & agencies.			
21.1-5	See General retention schedule			
21.6	Government Communication Management			
	Records documenting requests for information from government bodies, the internal handling of those requests & responses provided	Last action on request +1 year	JISC guidelines	Archive
	Records documenting formal responses to surveys & consultations carried out by government bodies	Completion of response +1 year	JISC guidelines	Archive
	Records of formal participation in government or public inquiries	Last action on inquiry +3 years	Internal guidelines	Archive
21.7	HE Sector Legislation Development			
	Records of input to the preparation, development & implementation of legislation or regulation affecting the HE sector as a whole	Last action on issue +1 years	Internal guidelines	Archive
	Records of input to the preparation, development & implementation of legislation or regulation affecting the University's specific legal status, mandate or activities	Last action on issue +1 years	Internal guidelines	Archive

HE REGULATOR RELATIONS MANAGEMENT

Ref	Description	Retention	Citation	Action
22	HE REGULATOR RELATIONS MANAGEMENT Scope: Managing the overall relationship with HE regulators, including government departments, funding councils, inspectorates, standards bodies, research councils & professional bodies.			
22.1-5	See General retention schedule			
22.6	HE Regulator Communication Management			
	Requests for information from HE regulators, the internal handling of them & the responses provided	Last action on request +3 years	Internal guidelines	Review for archival value
	Formal responses to surveys & consultations carried out by HE regulators	Completion of response + 1 year	JISC guidelines	Archive
	Records of participation in the conduct of formal reviews by HE regulators, & formal responses to the results of such reviews	Last action on review +3 years	JISC guidelines	Archive

STUDENT ASSOCIATION RELATIONS MANAGEMENT

Ref	Description	Retention	Citation	Action
23	STUDENT ASSOCIATION RELATIONS MANAGEMENT Scope: Managing the relationship with the Students' Association, to fulfil responsibilities under the Education Act 1994.			
23.1-5	See General retention schedule			
23.6	Students' Association Constitution Review & Approval			
	Records of reviewing the Student Association's constitution, other than formal review & approval by Senate or Court. (The formal review & approval of the Students' Association constitution will be recorded in the minutes of the appropriate meetings, & copies of the Student Association's constitution will be retained with the papers of those meetings.)	Issue of revised constitution +10 years	Internal guidelines	Destroy
23.7	Students' Association Funding			
	Records of negotiating & agreeing funding to be provided by the institution to the Students' Association.	CFY +3 years	Internal guidelines	Archive
23.8	Students' Association Financial Monitoring			
	Records of reviewing the students' association budgets, other than formal review & approval by Senate or Court. (The formal review & approval of the Students' Association budgets will be recorded in the minutes of the appropriate meetings, & copies of the Students' Association's budgets will be retained with the papers of those meetings.)	CFY +3 years	Internal guidelines	Destroy
23.9	Students' Association Operations Monitoring			
	Records of monitoring elections to major offices in the Students' Association. Formal reports on the conduct of the Students' Association elections will be retained in the Senate/Council papers, for which see Governance – Governing Body Management	Current year +2 years	1994 c.30	Destroy
	Records of monitoring the student association's affiliations. Copies of notices of the Student Association's decisions to affiliate, & formal reports of affiliations, will also be retained with the papers of Senate/Court	Current year +2 years	1994 c.30	Destroy
	Records of monitoring complaints against the Students' Association, & the handling of them by the Association	Last action on complaint +6 years	1973 c.52	Destroy

	Records of investigating & reporting on complaints against the students' association by independent investigators appointed by Senate/Court.	Settlement of complaint +6 years	1994 c.30 1973 c.52	Destroy
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ORGANISATIONAL DEVELOPMENT

Ref	Description	Retention	Citation	Action
24	ORGANISATIONAL DEVELOPMENT			
24.1-5	See General retention schedule			
24.6	Organisational Restructuring			
	Records of managing individual organisational restructuring processes.	Completion of process + 5 years	JISC guidelines	Archive

HEALTH & SAFETY MANAGEMENT

Ref	Description	Retention	Citation	Action
25	HEALTH & SAFETY MANAGEMENT			
25.1-5	See General retention schedule			
25.6	Health & Safety Audit			
	Records of the conduct & results of health & safety audits, & action taken to address issues raised	Completion of audit +5 years	1974 c.37	Archive
25.7	Health & Safety Consultation			
	Notifications of appointments of safety representatives	End of appointment +1 year	S.I.1977/500	Destroy
	Records of proceedings & decisions of health and safety committee	Current year + 50 years	S.I.1977/500	Destroy
25.8	Health & Safety Information, Instruction & Training Provision			
	Records of the provision of information, instruction & training for employees, students & others on health & safety in University premises.	Current year +5 years	SI 1981/917 SI 1989/635 SI 1989/682 SI 1989/1790 SI 1992/2792 SI 1992/2793 SI 1992/2932 SI 1992/2966 SI 1996/341 SI 1997/1840 SI 1998/2306 SI 1999/3242 SI 2002/2675 SI 2002/2676 SI 2002/2677	Destroy

	Records of the content of information & instruction on health & safety matters provided for members of the public & others with legitimate access to premises, & other methods of delivery	Superseded +5 years	1957 c.31 1974 c.37 S.I.1999/3242	Destroy
25.9	Health & Safety Hazard Identification & Risk Assessment			
	Records of the significant findings of health & safety risk assessments	Review of assessment +5 years	S.I.1999/3242	Destroy
25.10	Hazardous Substance Exposure Control			
	Records of hazardous substances present /in use.	Updated +40 years	S.I.2002/2677	Destroy
	List of employees exposed to Group 3 or Group 4 biological agents (defined in the Regulations).	Last entry +40 years	S.I.2002/2677	Destroy
	Records of accidents & incidents involving Group 3 or Group 4 biological agents (defined in the Regulations).	Date of recording +40 years*	S.I.2002/2677*	Destroy
	Records of the conduct & results of risk assessments for work involving substances hazardous to health, as defined in the Regulations cited.	Elimination of risk + 5 years or Review / updating of assessment + 5 years	S.I.2002/2677	Destroy
	Records of the examination, testing & repair of plant & equipment provided to control exposure to substances hazardous to health.	Date of examination / test / repair +5 years*	S.I.2002/2677*	Destroy
	Records of the conduct & results of monitoring of exposure of employees to substances hazardous to health: general exposure.	Date of action +5 years*	S.I.2002/2677*	Destroy
	Records documenting the conduct & results of monitoring of exposure of employees to substances hazardous to health: exposure of identifiable individual employees.	Date of monitoring +40 years*	S.I.2002/2677*	Destroy
	Health surveillance records of identifiable individual employees who are exposed to substances hazardous to health.	Date of last entry on record + 40 years*	S.I.2002/2677*	Destroy
25.11	Health & Safety Inspection			
	Records of the conduct & results of health & safety inspections of University land, buildings, facilities or operations, & action taken to address issues raised	Current year +5 years	1974 c.37 S.I.1999/3242	Destroy

25.12	Health & Safety Incident Recording, Reporting & Investigation			
	Records of accidents, dangerous occurrences & outbreaks of notifiable diseases on University premises	Date of recording +40 years*	S.I.1979/628* S.I.1985/967* S.I.1995/3163*	Archive
	Records of investigations of accidents, dangerous occurrences & outbreaks of notifiable diseases on University premises	Closure of investigation +40 years	JISC guidelines	Archive
	Notifications & reports of accidents, dangerous occurrences & outbreaks of notifiable diseases to enforcing authorities	Date of notification +40 years	S.I.1995/3163	Destroy
25.13	Employee Health Surveillance			
	Records of pre-employment health screening of an employee	End of employment +40 years	1973 c.52	Destroy
	Health (surveillance) records of identifiable individual employees, other than those specified below	Date of last surveillance action +40 years	1973 c.52 S.I.1999/3242	Destroy
	Health (surveillance) records of identifiable individual employees who are exposed to substances hazardous to health, as defined by the Regulations cited	Date of last entry on record +40 years*	S.I.2002/2677*	Destroy
	Health (surveillance) records of identifiable individual employees who are exposed to lead, as required by the Regulations cited	Date of last entry on record +40 years*	S.I.2002/2677	Destroy
	Health (surveillance) records of identifiable individual employees who are exposed to asbestos, as required by the Regulations cited	Date of last entry on record +40 years*	S.I.2002/2675*	Destroy
	Certificates of medical examinations of individual employees who are exposed to asbestos, as required by the Regulations cited	Date of last entry on record +40 years*	S.I.2002/2675*	Destroy

ENVIRONMENTAL MANAGEMENT

Ref	Description	Retention	Citation	Action
26	ENVIRONMENTAL MANAGEMENT Managing the impact of the University & its business on the environment, & ensuring compliance with environmental legislation (Estates & Buildings).			
26.1-5	See General retention schedule			
26.6	Environmental Audit			
	Records of the conduct & results of environmental audits, & action taken to address issues raised.	Completion of audit +5 years	JISC guidelines	Archive
26.7	Environmental Hazard Identification & Risk Assessment			
	Records documenting identified environmental hazards to the institution, or created by its operations, & the conduct & results of risk assessments.	Elimination of risk OR Updating of risk assessment + 5 years	JISC guidelines	Destroy
26.8	Environmental Management Scheme Accreditation Management			
	Records of the attainment & maintenance of the University's accreditation under established environmental management schemes.	End of accreditation +1 year	Internal guidelines	Destroy
26.9	Environmental Awareness Promotion			
	Records of action taken to raise awareness of environmental issues among employees, other staff & students.	Current year +5 years	Internal guidelines	Destroy
26.10	Environmental Incident Recording, Reporting & Investigation			
	Records of the recording of environmental incidents on the premises or caused by operations.	Last action on incident + 40 years	JISC guidelines	Archive <i>(Potential long-term liability)</i>
	Records of the investigation of environmental incidents on the premises or caused by operations.	Closure of investigation + 40 years	JISC guidelines	Archive <i>(Potential long-term liability)</i>
	Notifications & reports of reportable environmental incidents to enforcing authorities	Date of notification +5 years	JISC guidelines	Destroy

26.11	Energy Management			
	Records of routine monitoring of the use & consumption of energy.	Current year +5 years	JISC guidelines	Destroy
	Records of the conduct & results of formal reviews of the use & consumption of energy, & action taken to address issues raised.	Completion of review +5 years	JISC guidelines	Destroy
26.12	Waste Management			
	Records of the classification, collection & storage of 'controlled waste' prior to removal from the premises for disposal.	Removal of waste consignment +2 years	SI 1991/2839	Destroy
	Register of 'controlled waste' removed from the premises for disposal by registered / licensed contractors.	Removal of waste consignment +2 years*	SI 1991/2839*	Destroy
	Records of the classification, collection & storage of 'special waste' prior to removal from the premises for disposal.	Removal of waste consignment +3 years	SI 1996/972*	Destroy
	Register of 'special waste' removed from the premises for disposal by registered / licensed contractors.	Removal of waste consignment + 3 years*	SI 1996/972*	Destroy

ESTATE MANAGEMENT

Ref	Description	Retention	Citation	Action
27	ESTATE MANAGEMENT (Estates & Buildings)			
27.1-5	See General retention schedule			
27.6	Property Acquisition			
	Records of the acquisition of ownership of properties	Ownership of property	JISC guidelines	Archive
	Deeds & certificates of title for University properties	Ownership of property	JISC guidelines	Transfer to new owner with property
	Records of negotiations for properties where the property was not acquired	Closure of negotiations +6 years	1973 c.52	Destroy
	Records of the acquisition of use of properties by lease or rental Note: for retention of formal legal agreements, see <i>Legal Affairs Management – Contracts & Agreements Management</i>	Disposal of property +6 years	1973 c.52	Archive
27.7	Property Development			
	Records of the development of properties, including project files	Ownership of property	JISC guidelines	Transfer to new owner with property
	Records of the restoration of contaminated land	Ownership of land	JISC guidelines	Transfer to new owner with land
27.8	Property Maintenance			
	Records of the inspection, maintenance & repair of properties	Completion of work +2 years	SI 1997/1840 JISC guidelines	Destroy
	Records of major maintenance works on properties (E&B & Colleges)	Ownership of property	JISC guidelines	Transfer to new owner with property
	Records of inspections to assess whether asbestos is (or is liable to be) present in a building or on land	Review of assessment*	SI 2002/2675	Destroy
	Records documenting the removal of hazardous materials from properties	Removal of material +5 years	JISC guidelines	Destroy
	Records of monitoring the condition of asbestos in premises	Removal of asbestos +5 years OR subsequent inspection +5 years	SI 2002/2675	Destroy

27.9	Property Disposal			
	Records of the disposal of properties	Disposal of properties +6 years	1973 c.52	Archive
27.10	Property Compliance Management			
	Records of the conduct & results of inspections of properties by the enforcing authorities, & action taken to address issues raised.	Completion of subsequent inspection	JISC guidelines	Destroy
	Fire certificates	Issue of new certificate	JISC guidelines	Destroy
27.11	Property Security Management			
	Records of the conduct & results of security inspections of properties, & action taken to address issues raised	Completion of next inspections	JISC guidelines	Destroy
	Records of property access controls to secure areas (e.g. access registers, key registers, security data logs)	Creation +2 years	JISC guidelines	Destroy
	Records of security passes issued to visitors, employees, other staff & students	Expiry of pass +1 year	JISC guidelines	Destroy
	Records of the conduct of routine security surveillance of properties	Creation +1 month	JISC guidelines	Destroy
	Records of security breaches or incidents & action taken	Last action on incident +1 year	JISC guidelines	Destroy
27.12	Property Leasing-Out			
	Records of leasing-out arrangements for properties	End of lease +6 years	1973 c.52	Archive
27.13	Facility Development			
	Records of the specification of requirements for facilities	Next fit-out +1 year	JISC guidelines	Archive
	Records of the development of interior design & fit-out schemes	Next fit-out +1 year	JISC guidelines	Archive
	Records of carrying out interior decoration & fitting-out works	Next fit-out +1 year	JISC guidelines	Destroy
27.14	Facility Maintenance			
	Records of the conduct & results of inspections of facilities, & action taken to address issues raised	Completion of next inspection	JISC guidelines	Destroy
	Records of carrying out planned preventive maintenance works within facilities	Current year +1 year	JISC guidelines	Destroy
	Records of carrying out repairs to interior decoration, fixtures & fittings	Current year +1 year	JISC guidelines	Destroy

27.15	Facility Security Management			
	Records of the conduct & results of security inspections of facilities & action taken to address issues raised	Completion of next inspection	JISC guidelines	Destroy
	Records of the conduct of routine surveillance of facilities	Creation +1 month	JISC guidelines	Destroy
	Records of occurrences of unauthorised access to facilities, & action taken	Last action on incident +1 year	JISC guidelines	Archive
27.16	Facility Compliance Management			
	Records of the conduct & results of inspections of facilities by enforcing authorities & action taken to address issues raised	Completion of next inspection	JISC guidelines	Longer retention periods may be required by enforcing authorities concerned with particular types of facilities
27.17	Facility Relocation Management			
	Records of plans for the relocation of facilities within buildings or to other buildings	Completion of relocation +10 years	JISC guidelines	Archive
	Records of the physical relocation of facilities	Completion of relocation +2 years	JISC guidelines	Archive

FINANCE MANAGEMENT

In order to reduce duplication it should be noted that departments do **not** need to keep copies of the following records which are held centrally by Finance:

- Sales Invoices - all available electronically from Cedar.
- Purchase Orders and requisitions - all electronically held in Cedar.
- Supplier Invoices - all scanned by Accounts Payable and available electronically.
- Expense Claims - as supplier invoices plus original receipts are retained centrally.
- Internal Orders - all available electronically in Cedar.
- Payroll data - all kept centrally by Payroll Office.
- Non-sales cash - originals kept centrally by Cash Room.

Ref	Description	Retention	Citation	Action
28	FINANCE MANAGEMENT			
28.1	Finance Strategy Development			
	Records documenting the development & establishment of the University's finance strategy	Superseded + 10 years	JISC guidelines	Review for archival value
28.2	Finance Management Planning			
	Records documenting the formulation of plans for the implementation of the University's finance strategy	Superseded + 10 years	JISC guidelines	Review for archival value
28.3	Finance Management Performance Management			
	Records containing data on, & analyses of, performance against the plans for implementation of the University's finance strategy	CFY + 1 year	JISC guidelines	Destroy
	Records containing reports of performance against the plans for implementation of the University's finance strategy	CFY + 10 years	JISC guidelines	Review for archival value
	Records documenting the conduct & results of audits & reviews of the finance management function, & responses to the results.	CFY + 10 years	JISC guidelines	Review for archival value
28.4	Finance Management Policy Development			
	Records documenting the development & establishment of the University's finance management policies	Superseded + 10 years	JISC guidelines	Review for archival value
28.5	Finance Management Procedures Development			
	Records documenting the development of the University's finance management procedures	Superseded + 10 years	JISC guidelines	Review for archival value

28.6	Financial Audit			
	Records of the conduct & results of financial audits, & action taken to address issues raised	Last action on audit + 6 years	1973 c.52	Destroy
28.7	Financial Accounting			
	Records of the issue of sales invoices and the processing of incoming payments	CFY + 6 years*	1970 c.9* 1973 c.52 1994 c.23 HMCE 700/21*	Destroy
	Records of the receipt & payment of purchase invoices	CFY + 6 years*	1970 c.9* 1973 c.52 1994 c.23 HMCE 700/21*	Destroy
	Records of the payment &/or the reimbursement of employees' expenses	CFY + 6 years*	1970 c.9* 1973 c.52	Destroy
	Records of the payment of honoraria to third parties (unless administered through the payroll)	CFY + 6 years*	1970 c.9* 1973 c.52	Destroy
	Records of the payment of expenses to third parties (e.g. honorary appointees)	CFY + 6 years*	1970 c.9* 1973 c.52	Destroy
	Records of the handling of petty cash	CFY + 6 years*	1970 c.9 1973 c.52 1994 c.23*	Destroy
	Records of the receipt and processing of students' fees	CFY + 6 years*	1970 c.9* 1973 c.52	Destroy
	Records of the preparation of annual accounts	CFY + 6 years*	1970 c.9*	Destroy
	Annual accounts	CFY + 6 years*	1970 c.9*	Archive
28.8	Management Accounting			
	Analyses of the internal deployment of financial resources	CFY + 1 year	JISC guidelines	Destroy

28.9	Statutory Accounting			
	Records of the preparation of statutory accounts	CFY + 6 years	1973 c.52	Destroy
28.10	Internal Accounting			
	Records of the processing of internal accounting transactions between operating units (i.e. cross-charges)	CFY + 1 year	JISC guidelines	Destroy
	Records of negotiating & administering formal contracts between operating units (e.g. for the provision of services)	End of contract + 1 year	JISC guidelines	Destroy
28.11	Funding Administration			
	Records of administering annual funding allocations from appropriate statutory funding bodies	CFY + 10 years	JISC guidelines	Destroy
	Records of administering research grants provided by research councils or corporate sponsors	End of grant + 6 years	1973 c.52	Destroy
	Records of administering scholarship funds	CFY + 6 years	1973 c.52	Destroy
28.12	Budget Management			
	Records of the preparation of annual operating budgets	CFY + 1 year	JISC guidelines	Destroy
	Records of monitoring income & expenditure against annual operating budgets, & action taken to deal with variances	CFY + 1 year	JISC guidelines	Destroy
28.13	Payroll Administration			
	Records of employees' authorisation for non-statutory payroll deductions	CTY + 6 years	1973 c.52	Destroy
	Records of the calculation & payment of payroll payments to employees	CTY + 3 years* Recommended: CTY + 6 years	1970 c.9 1973 c.52 SI 1993/744* SI 1999/584*	Destroy
	Records of the operation of the Statutory Sick Pay scheme	CTY + 3 years*	SI 1982/894*	Destroy
	Records of the operation of the Statutory Maternity Pay scheme	CTY + 3 years*	SI 1986/1960*	Destroy

28.14	Pension Contributions Administration			
	Records of payments of employers' contributions to pensions schemes for employees	End of employment + 75 years	1973 c.52	Destroy
	Records of payments of employees contributions to pension schemes	End of employment + 75 years	1973 c.52	Destroy
28.15	Tax Management			
	Records of the preparation and filing of tax returns	CTY + 6 years*	1970 c.9*	Destroy
28.16	Cash Management			
	Records of opening, closing & routine administering of bank accounts	Closure of account + 6 years	1973 c.52	Destroy
	Records of standing orders, direct debits etc.	Life of instruction + 6 years	1973 c.52	Destroy
	Records of routine bank account deposits / withdrawals / transfers (paying-in slips, transfer instructions etc.)	CFY + 6 years*	1970 c.9* 1980 c.58	Destroy
28.17	Investment Management			
	Records of the overall management of the financial investment portfolio	Divestment + 6 years	1980 c.58	Archive
	Records of the purchase and sale of investments	CFY (of transaction) + 6 years*	1970 c.9*	Destroy
28.18	Asset Management			
	Valuations of capital assets	CFY + 6 years*	1970 c.9*	Archive
	Records of decisions & authorisations to dispose of capital assets	CFY (of disposal) + 6 years*	1970 c.9* 1973 c.52	Archive

HUMAN RESOURCES MANAGEMENT

In order to reduce duplication it should be noted that departments should **not** keep copies of the following records which are held centrally by Human Resources:

- Any information relating to health issues/Occupational Health Service referrals
- Any information relating to grievance/disciplinary proceedings
- Probation forms and associated documentation (upon the conclusion of a probationary period)
- Information relating to promotion or regrading (upon conclusion of the annual exercise or after receipt of Senior Vice Principal's decision on applications for promotion out with the annual exercise)
- Copies of references
- Copies of recruitment application forms
- Information relating to Disclosure Scotland checks
- Information relating to participation in industrial action

Ref	Description	Retention	Citation	Action
29	HUMAN RESOURCES MANAGEMENT			
	Scope: The function of managing the University's workforce, and its relationship with individual employees			
29.1-5	See General retention schedule			
29.6	Workforce Planning			
	Records of the assessment & analysis of workforce requirements, & the identification & evaluation of options for meeting these requirements	Current year +3 years	1973 c.52	Archive
	Management succession plans	Superseded +5 years	JISC guidelines	Archive
	Records of developing & evaluating job specifications	Superseded +5 years	JISC guidelines	Destroy
29.7	Workforce Recruitment			
	Records of internal authorisation for recruitment	<i>Forms part of the personal file held by HR</i>	Must comply with terms of 1998 c.29	Destroy
	Records of the advertising of vacancies	End of recruitment process	1975 c.65 1976 c.74 1995 c.50	Destroy
	Enquiries about vacancies & requests for application forms	End of recruitment process	JISC guidelines	Destroy

	Records of the handling of applications for vacancies: unsuccessful applications	End of recruitment process: 6 months for Support Staff vacancies & 12 months for Academic & Related Vacancies	1975 c.65 1976 c.74 1995 c.50	Destroy
	Records of the handling of applications for vacancies: successful applications	<i>Forms part of the personal file held by HR</i>	1975 c.65 1976 c.74 1995 c.50	Destroy
	Records of summary statistical information about job applicants e.g. ethnicity/gender analyses	Current year +5 years	JISC guidelines	Destroy
	Records of management analyses of recruitment effectiveness e.g. use of advertising media	Current year +1 year	JISC guidelines	Destroy
	Unsolicited applications for employment	End of recruitment process	JISC guidelines	Destroy
29.8	Workforce Induction			
	Records of the development, overall delivery & assessment of induction programmes for new employees. (<i>For records of individual employees' induction programmes, see 29.14</i>)	Current year +5 years	JISC guidelines	Destroy
	Records of administering induction programmes	Completion or end of programme +1 year	JISC guidelines	Destroy
29.9	Workforce Training & Development			
	Records of summary information on workforce training & development needs	Current year +5 years	JISC guidelines	Destroy
	Records of developing training & development programmes to meet defined needs	Completion of programme +5 years	JISC guidelines	Destroy
	Individual feedback on training & development programmes	Completion of analysis of feedback	JISC guidelines	Destroy
	Records of (anonymised) workforce feedback on training & development programmes	Current year +5 years	JISC guidelines	Destroy
	Records of management analyses of the impact of training & development programmes	Current year +5 years	JISC guidelines	Destroy

29.10	Workforce Performance Management			
	Records of developing workforce performance assessment systems	Life of system +5 years	JISC guidelines	Archive
	Records of summary (anonymised) results of employees' performance assessments	Current year +3 years	JISC guidelines	Archive
	Records of management analyses of the impact of workforce performance assessment systems	Current year +5 years	JISC guidelines	Archive
29.11	Workforce Remuneration & Reward Management			
	Records of developing the remuneration structure	Current year +10 years	JISC guidelines	Archive
	Records of pay audits	Current year +5 years	JISC guidelines	Archive
	Records of special reward schemes e.g. merit reviews	End of scheme +5 years	JISC guidelines	Archive
29.12	Workforce Welfare Management			
	Records of developing workforce welfare schemes & services e.g. occupational health services	Current year +5 years	JISC guidelines	Archive
	Records of monitoring hours worked by employees, as required by the regulations cited	Date of record +2 years*	S.I.1998/1833*	Destroy
29.13	Workforce Relations Management			
	Records of the design of workforce surveys & consultations	Completion of survey/consultation +5 years	JISC guidelines	Archive
	Identifiable individual responses to workforce surveys & consultations	Completion of analysis of responses +1 year	JISC guidelines	Destroy
	Records of summary (anonymised) results of workforce surveys & consultations	Completion of survey +5 years	JISC guidelines	Archive
	Records of grievances raised by staff (which do not relate directly to their own contracts of employment), the official response, action taken & the outcome	Last action on case +6 years	1973 c.52	Destroy
29.14	Employee Contract Management			
	Records of an employee's initial application for employment	End of employment +6 years	1973 c.52	Archive
	Supporting documentation (e.g. references) for an employee's initial application	<i>Forms part of the personal file held by HR</i>	Must comply with terms of 1998 c.29	Destroy

Records of an employee's subsequent applications for other jobs internally	<i>If successful, forms part of the personal file held by HR.</i> If unsuccessful: 6 months for Support Staff vacancies & 12 months for Academic & Related Vacancies	Must comply with terms of 1998 c.29	Destroy
Records of an employee's contract of employment	End of employment +6 years	JISC guidelines	Archive
Records of changes to an employee's terms & conditions of employment	End of employment +6 years	JISC guidelines	Archive
Job descriptions of positions held by an employee	<i>Forms part of the personal file held by HR</i>	Must comply with terms of 1998 c.29	Archive
Records of induction programmes attended by an employee	Completion of induction +1 year	JISC guidelines	Destroy
Records of an employee's identified training & development needs, & the action taken to meet those needs	Completion of action +5 years	JISC guidelines	Destroy
Records of job-specific statutory/ regulatory training requirements for an employee, & the training provided to meet those requirements	Expiry of certification OR superseded +6 years	1973 c.52	Destroy
Records of routine assessments of an employee's performance, & any consequent action taken	Superseded +3 years	JISC guidelines	Destroy
Records of disciplinary proceedings against an employee, where employment continues	End of employment +6 years	JISC guidelines	Archive
Records of grievances raised by an employee which relate directly to his/her own contract of employment, the official response, action taken & the outcome	End of employment +6 years	JISC guidelines	Destroy
Records of an employee's remuneration & rewards (e.g. bonuses, merit awards, long service awards)	<i>Forms part of the personal file held by HR</i>	Must comply with terms of 1998 c.29	Destroy
Records of administering an employee's contractual holiday entitlement	Current year +1 year	JISC guidelines	Destroy
Records of an employee's absence due to sickness	End of employment +40 years	1992 c.4 IR CA30	Destroy
Records of authorising & administering special leave e.g. compassionate leave, study leave	<i>Forms part of the personal file held by HR</i>	Must comply with terms of 1998 c.29	Destroy

	Records of authorising & administering statutory leave entitlements, e.g. parental leave	<i>Forms part of the personal file held by HR</i>	Must comply with terms of 1998 c.29	Destroy
	Records of entitlements to & calculations of Statutory Maternity Pay	CTY +3 years*	1992 c.4 SI1986/1960*	Destroy
	Records of an employee's basic personal details (e.g. address, next of kin, emergency contacts)	<i>Forms part of the personal file held by HR</i>	Must comply with terms of 1998 c.29	Destroy
	Records of pre-employment health screening of an employee: employees exposed to hazardous substances during employment	End of employment +40 years	SI2002/2675 SI2002/2676 SI2002/2677	Destroy
	Records of pre-employment health screening of an employee: other employees	End of employment +6 years	1973 c.52	Destroy
	Records of the issue of personal protective equipment/other special equipment to an employee	End of employment +6	1973 c.52	Destroy
	Records of major injuries to an employee arising from accidents in the workplace	End of employment +40 years	Internal guidelines	Archive
	Records of an employee's termination of employment by voluntary resignation, redundancy, retirement (including on medical grounds) or dismissal	<i>Forms part of the personal file held by HR</i>	Must comply with terms of 1998 c.29	Archive
	References provided in confidence in support of an employee's application(s) for employment by another organisation	<i>Forms part of the personal file held by HR</i>	Must comply with terms of 1998 c.29	Destroy
29.15	Industrial Relations Management (Personnel & Senior Officers)			
	Records of the University's recognition/derecognition of trades unions	(De)recognition +20 years	1973 c.52 Internal guidelines	Archive
	Records of agreements with trades unions	End of agreement +20 years	1973 c.52 Chartered Institute of Personnel & Development recommendation Internal guidelines	Archive
	Records of routine communications with trade union representatives, including minutes of meetings	Current year +20 years	JISC guidelines	Archive

	Records of consultations/ negotiations with trades unions on specific issues	Last action on issue +20 years	JISC guidelines	Archive
29.16	Pension Schemes Administration (Payroll & Personnel)			
	Records of relationships with pension schemes to which all or part of the workforce belongs	End of relationship +5 years	JISC guidelines	Destroy
	Records of routine communications with the pension schemes	Current year +5 years	JISC guidelines	Destroy

INFORMATION RESOURCES MANAGEMENT

Ref	Description	Retention	Citation	Action
30	INFORMATION RESOURCES MANAGEMENT Managing the information resources which are generated or acquired by the University in the course of its work or to support its work			
30.1-5	See General retention schedule			
30.6	Data Protection Act (DPA) Compliance Management			
	Notifications of data controller details to the Office of the Information Commissioner	Expiry of notification +6 years	1973 c.52	Destroy
	Requests for access to personal information under the Data Protection Act 1998	Last action on request +6 years	1973 c.52	Destroy
	Records of (anonymised) management statistics, analyses & report of requests for access to personal information under the Data Protection Act 1998	Current year +10 years	JISC guidelines	Destroy
30.7	Freedom of Information (Scotland) Act Compliance Management			
	Records of developing & maintaining the publication scheme as required by the Freedom of Information (Scotland) Act 2002	End of revision of publication scheme +5 years	JISC guidelines	Destroy
	Requests for access to information under the Freedom of Information (Scotland) Act 2002	Last action on request +6 years	1973 c.52	Destroy
	Records of (anonymised) management statistics, analyses & report of requests for access to personal information under the Freedom of Information (Scotland) Act 2002	Current year +10 years	JISC guidelines	Destroy
30.8	Copyright Compliance Management (including academic departments)			
	Applications to copy material outside the scope of the Higher Education Licence Agreement & the results	Last action on appliance +6 years	1973 c.52	Destroy
	Records of routine monitoring of copying	Current year +1 year	JISC guidelines	Destroy
	Records of calculations of payments due to collecting organisations	Current year +1 year	JISC guidelines	Destroy
	Copies of statistics provided to the Copyright Licensing Agency	Current year +1 year	JISC guidelines	Destroy
	Records of participation in surveys undertaken by the Copyright Licensing Agency	Current year +1 year	JISC guidelines	Destroy

	Records of participation in inspections undertaken by copyright owners or their representatives to check compliance with legal & contractual provisions	Last action on inspection +1 year	JISC guidelines	Destroy
30.9	Records Management			
	Classification & indexing schemes for records	Superseded +5 years	JISC guidelines	Archive
	Records of monitoring & control of the storage of records	Current year +1 year	JISC guidelines	Archive
	Records of the movement of records from/to storage	Return of records +1 year	JISC guidelines	Destroy
	Records of determining retention periods for records	Superseded +6 years	1973 c.52	Destroy
	Final versions of record retention schedules	Life of University	JISC guidelines	Archive
	Records of the review of individual records to determine requirements for ongoing retention	Life of records +6 years	1973 c.52	Destroy
	Records of conservation work undertaken on records	Life records	JISC guidelines	Archive
	Records of authorisation for the disposal of redundant business records	Life of records +6 years	1973 c.52	Destroy
	Records of the transfer of records to Special Collections where this is required by established records retention schedules	Completion of transfer +1 year	JISC guidelines	Archive
30.10	Archives Management			
	Records of developing & establishing selection criteria for records to be preserved as archives	Life of archives	JISC guidelines	Archive
	Records of the appraisal, selection & acquisition of records for preservation as institutional archives	Life of archives	JISC guidelines	Archive
	Records of the accessioning of records acquired for preservation as archives	Life of archives	JISC guidelines	Archive
	Records of the scheme of arrangement for the archives	Life of records arranged according to the scheme	Internal guidelines	Archive
	Records of developing the standard descriptive model for the archives	Life of records described using this scheme	JISC guidelines	Archive
	Records of the arrangement & contents of institutional archives	Life of records	JISC guidelines	Archive
	Records of monitoring & control of the storage of archives	Current year +1 year	JISC guidelines	Archive
	Records of conservation work undertaken on items in the archives	Life of records	JISC guidelines	Archive

	Records of requests for access to items in the archives & the responses provided	Last action on request +1 year	JISC guidelines	Destroy
	Records of the movement of items from/to storage	Return of items +1 year	JISC guidelines	Destroy
	Records of developing & maintaining specialised finding aids to promote & facilitate access to items in the archives	While current	JISC guidelines	Archive
	Records of the design & distribution of promotional materials to raise awareness & encourage use of items in the archives	While current	JISC guidelines	Archive
	Enquiries about items in the archives & the responses provided	Last action on enquiry +1 year	Internal guidelines	Archive
	Records of the selection & use of items from the archives by staff for teaching, events, publication, tv programmes etc.	Last action on project +5 years	JISC guidelines	Archive
	Records of loans of items from the archives to third parties	End of loan +6 years	1973 c.52	Archive
	Records of authorisation for the disposal of de-accessioned records	Life of archives	JISC guidelines	Archive
30.11	Museum Management			
	Records of developing & establishing selection/acceptance criteria for collections	Life of collections	JISC guidelines	Destroy
	Records of the appraisal, selection & acquisition of collections	Life of collections	JISC guidelines	Destroy
	Records of the accessioning of collections	Life of collections	JISC guidelines	Archive
	Records of the scheme of arrangement for collections	Life of collections arranged according to the scheme	JISC guidelines	Archive
	Records of developing standard descriptive models for collections	Life of collections described using the model	JISC guidelines	Archive
	Records of the arrangement & contents of collections	Life of collections	JISC guidelines	Archive
	Records of the monitoring & control of the storage conditions & environment for collections	Current year +1 year	JISC guidelines	Archive
	Records of conservation work undertaken on collections	Life of collections	JISC guidelines	Archive
	Records of requests for access to items in the collections & the responses provided	Last action on request +1 year	JISC guidelines	Destroy
	Records of the movement of items from/to storage	Return to storage +1 year	JISC guidelines	Destroy

	Records of developing & maintaining specialised finding aids to promote & facilitate access to collections	While current	JISC guidelines	Archive
	Records of the design & distribution of promotional materials to raise awareness & encourage use of collections	While current	JISC guidelines	Destroy
	Enquiries about the collections & the responses provided	Last action on enquiry +1 year	JISC guidelines	Archive
	Records of the selection & use of items from the collections by staff or third parties for teaching, events, publication, TV programmes etc.	Current year +5 years	JISC guidelines	Archive
	Records of loans from the collections to third parties	End of loan +1	JISC guidelines	Archive
	Records of authorisation for the disposal of de-accessioned records	Life of collections	JISC guidelines	Archive
30.12	Library Management			
	Records of ordering publications for purchase	CFY + 6 years	JISC guidelines	Destroy
	Records of schemes for classifying & cataloguing publications	While current	JISC guidelines	Destroy
	Catalogues/indexes	While current	JISC guidelines	Archive
	Records of the monitoring & control of storage conditions	Current year +1 year	JISC guidelines	Archive
	Records of conservation work undertaken on publications	Life of items	JISC guidelines	Archive
	Records of decisions to dis/continue purchase of publications	Last action on issue +3 years	JISC guidelines	Destroy
	Records of the authorisation for the disposal of redundant publications	Disposal of publications +1 year	JISC guidelines	Archive

INTELLECTUAL PROPERTY MANAGEMENT

Ref	Description	Retention	Citation	Action
31	INTELLECTUAL PROPERTY MANAGEMENT Scope: Managing Aberdeen's intellectual property, including patents, designs, trademarks & copyright			
31.1-5	See General retention schedule			
31.6	Patent Management			
	Records of Aberdeen's applications for patents	Life of patent	JISC guidelines	Archive
	Original patent documents	Life of patent	JISC guidelines	Archive
	Routine monitoring of third party activity in areas covered by Aberdeen patents	Current year +5 years	JISC guidelines	Destroy
	Identified infringements of Aberdeen's patents, & action taken other than litigation	Last action on case +6 years	1973 c.52	Archive
	Assignments of institutional patents to third parties	End of assignment OR life of patent +6 years	1973 c.52	Destroy
	Licensing of patents to third parties	End of license OR life of patent +6years	1973 c.52	Destroy
	The administration of patent licensing agreements & collection of fees	End of licence +6 years	1973 c.52	Destroy
31.7	Copyright Administration			
	Requests from third parties to use material in which Aberdeen owns the copyright.	Last action on request +10 years	JISC guidelines	Destroy

INFORMATION & COMMUNICATIONS TECHNOLOGY (ICT) SYSTEMS MANAGEMENT

Ref	Description	Retention	Citation	Action
32	ICT SYSTEMS MANAGEMENT			
	Scope: For providing ICT services to staff, students & other users of the University's ICT systems, set up a customised section using the framework given in 36: <i>Internal Services Management</i> .			
32.1-5	See General retention schedule			
32.6	ICT Systems Development			
	Initial development & post-implementation modification & maintenance of ICT systems	Decommissioning of system + 5 years	JISC guidelines	Archive
	Initial development of ICT systems which are not implemented	Last action on development + 5 years	JISC guidelines	Destroy
	Management of ICT systems development projects (i.e. project management records).	Termination of project + 5 years	JISC guidelines	Destroy
32.7	ICT Systems Operations Management			
	Routine monitoring and testing of the operation of ICT systems, & action taken to rectify problems & optimise performance	Current year +1 year	JISC guidelines	Destroy
	Faults reported by users of ICT systems, & actions taken to rectify problems & optimise performance	Last action on fault + 1 year	JISC guidelines	Destroy
	Management of system data storage, including the operation of routine data backup, archiving & deletion routines	Current year +1 year	JISC guidelines	Destroy
	User requests to recover data from backup or archive stores, & action taken	Last action on request + 3 months	JISC guidelines	Destroy
	Maintenance of appropriate software licences for live ICT systems	Issue of new licence	JISC guidelines	Destroy
32.8	ICT Systems Security Management			
	Security arrangements for ICT systems	Decommissioning of system + 5 years	JISC guidelines	Destroy
	Opening, maintenance and closure of user accounts for ICT systems	Closure of account + 1 years	JISC guidelines	Destroy
	Routine monitoring of the use of ICT systems to ensure compliance with legal requirements and institutional policies	Current year + 1 years	JISC guidelines	Destroy
	Attempted or actual security breaches of ICT systems & action taken	Last action on incident + 1 year	JISC guidelines	Archive

	Requests for, & authorisation of, connections of third party equipment to the University's networks, either on institutional premises or via dial-up communications links	Termination of connection + 1 year	JISC guidelines	Destroy
	Removal / return of mobile ICT systems hardware & software from / to the University's premises	Return of equipment + 3 months	JISC guidelines	Destroy
	Arrangements for the sanitisation of institutional ICT equipment prior to disposal	Disposal of equipment + 1 year	JISC guidelines	Destroy
32.9	ICT Systems User Support			
	Development of technical & application training for ICT system users	Superseded + 1 year	JISC guidelines	Destroy
	User requests for technical & application support & assistance provided	Last action on request + 1 year	JISC guidelines	Destroy

EQUIPMENT & CONSUMABLES MANAGEMENT

Ref	Description	Retention	Citation	Action
33	EQUIPMENT & CONSUMABLES MANAGEMENT			
33.1-5	See General retention schedule			
33.6	Selection records			
	Specifications for & selection of major items	Life of item +6 years	1973 c.52	Archive
	Specifications for & selection of items which are safety critical or associated with hazardous operations	Life of item +40 years	JISC guidelines	Archive
	Specifications for & selection of other items	Life of item	JISC guidelines	Destroy
33.7	Storage records			
	Monitoring of the condition of stored items	Current year +1 year	JISC guidelines	Destroy
	Stock inventory	Superseded	JISC guidelines	Destroy
	Routine stocktaking & stock checking	Current year +1 year	JISC guidelines	Destroy
	Movement of stock into & out of storage	Current year +1 year	JISC guidelines	Destroy
33.8	Installation/Commissioning records			
	Installation of major items	Decommissioning/removal +6 years	1973 c.52 SI 1998/2306	Destroy
	Installation of items which are safety critical or associated with hazardous operations	Decommissioning/removal +40 years	1973 c.52 SI 1998/2306	Destroy
	Installation of other items	Decommissioning/removal +1 year	SI 1998/2306	Destroy
	Pre-commissioning examinations of lifting equipment, as required by the regulations cited	Decommissioning*	SI 1998/2307*	Destroy
	Pre-commissioning examinations of accessories for lifting, as required by the regulations cited	Issue of report +2 years*	SI 1998/2307*	Destroy
	Post-installation examinations of lifting equipment, as required by the regulations cited	Decommissioning*	SI 1998/2307*	Destroy
33.9	Inspection & Testing records			
	Inspection & testing records	Completion of next inspection or disposal of item +1 year	SI 1998/2306	Destroy

	Inspection & testing records of items which are safety critical or associated with hazardous operations	Disposal of item +5 years	SI 1997/1840	Destroy
	Examination, testing & repair of items provided to control exposure to hazardous substances	Date of action +5 years*	SI2002/2677*	Destroy
	Examination, testing & repair of items provided to control exposure to asbestos	Creation +5 years*	SI 2002/2675*	Destroy
	'Inspections' of lifting equipment, as defined in the regulations cited	Completion of next inspection*	SI 1998/2307*	Destroy
	Inspections & 'thorough examinations' of lifting equipment, as required by the regulations cited	Completion of next report or issue of report + 2 years*	SI 1998/2307*	Destroy
33.10	Maintenance records			
	Maintenance records: major items	Decommissioning/ removal +6 years	1980 c.58; SI 1998/2306	Destroy
	Maintenance records: items which are safety critical or are associated with hazardous operations	Decommissioning/removal +40 years	1973 c.52 SI 1998/2306	Destroy
	Maintenance records: items proved to control exposure to asbestos	Creation +5 years	SI 2002/2675*	Destroy
	Maintenance records of equipment provided to meet the requirements of the Control of Asbestos at Work Regulations 2002	Creation +5 years	SI 2002/2675*	Destroy
33.11	Disposal records			
	Authorisations for the disposal of items, & the evaluation of alternative methods of disposal	Disposal of item +1 year	JISC guidelines	Destroy
	Cleaning/sanitisation prior to disposal of items used in connection with operations involving substances hazardous to health	Disposal of item +6 years	1973 c.52	Destroy
	Cleaning/sanitisation of other items prior to disposal	Disposal of item +1 year	JISC guidelines	Destroy
	Transfers of ownership	Disposal of item +1 year	JISC guidelines	Destroy

INSURANCE MANAGEMENT

Ref	Description	Retention	Citation	Action
34	INSURANCE POLICY MANAGEMENT			
34.1-5	See General retention schedule			
34.6	Insurance Policy Management			
	Employers' liability insurance	Commencement/ renewal of policy + 40 years*	1969 c.57 SI1998/2573*	Destroy
	All other insurance policies	Expiry of policy + 6 years	1973 c.52	Destroy
	Claims	Settlement/withdrawal of claim +6 years	Internal guidelines	Archive

PROCUREMENT

For acquisition of land & buildings, use **27.6 Estate Management – Property Acquisition**.

For acquisition by donation, use **8.10 Public Relations Management – Donation Management**.

Ref	Description	Retention	Citation	Action
35	PROCUREMENT Scope: Acquiring ownership or use of goods, works & services through purchase or lease.			
35.1-5	See General retention schedule			
35.6	Supplier Approval			
	Records of supplier evaluation criteria	Superseded +5 years	JISC guidelines	Destroy
	Invitations to prospective suppliers to apply for approval	Expiry of invitation OR rejection of application +6 months OR completion of approval	JISC guidelines	Destroy
	Evaluations of applications for approval from prospective suppliers & notification of the outcome: approved suppliers	End of approval	JISC guidelines	Destroy
	Evaluations of applications for approval from prospective suppliers & notification of the outcome: rejected suppliers	Rejection +1 year	JISC guidelines	Destroy
35.7	Supply Contract Tendering			
	Records of the process of inviting & evaluating pre-qualification submissions from prospective suppliers	Award of supply contract +1 year	SI1991/2680 SI1993/3228 SI1995/201	Destroy
	Records of Invitations to Tender & tender evaluation criteria	End of supply contract +6 years	1973 c.52 SI1991/2680 SI1993/3228 SI1995/201	Destroy
	Records of the issue of Invitations to Tender & handling incoming tenders	Award of supply contract +1 year	SI1991/2680 SI1993/3228 SI1995/201	Destroy

	Records of the evaluation of tenders, the conduct of negotiations with tenderers & the notification of results of the tender evaluation process: rejected tenders	Award of supply contract +1 year	SI1991/2680 SI1993/3228 SI1995/201	Destroy
	Records of the evaluation of tenders, the conduct of negotiations with tenderers & the notification of results of the tender evaluation process: accepted tenders	End of supply contract awarded +6 years	1973 c.52 SI1991/2680 SI1993/3228 SI1995/201	Destroy
	Contract award report (as required by the regulations cited)	End of supply contract awarded +6 years	1973 c.52 SI1991/2680 SI1993/3228 SI1995/201 JISC guidelines	Archive
	Statistical reports to HM Treasury on contracts awarded (as required by the regulations cited)	Current year +3 years	SI1991/2680 SI1993/3228 JISC guidelines	Archive
35.8	Supply Contract Management			
	Contract variations (e.g. revisions, extensions)	End of contract +6 years	1973 c.52	Destroy
	Monitoring of supplier performance and action taken regarding under-performance	End of contract +6 years	1973 c.52	Destroy
35.9	Purchasing Administration			
	Records of purchasing authorisation limits	Superseded +1 year	JISC guidelines	Destroy
	Internal authorisations for procurement	CFY +1 year	JISC guidelines	Destroy
	Purchase orders	CFY +6 years*	1973 c.52 HMCE 700/21*	Destroy
	Goods received notes/Goods inward notes	CFY +6 years*	1973 c.52 HMCE 700/21*	Destroy

UNIVERSITY OF ABERDEEN RECORDS RETENTION SCHEDULE: CITATIONS

Acts of the UK Parliament

1960 c.30	Occupiers Liability (Scotland) Act 1960
1969 c.57	Employers' Liability (Compulsory Insurance) Act 1969
1970 c.9	Taxes Management Act 1970
1970 c.41	Equal Pay Act 1970
1973 c.52	Prescription & Limitation (Scotland) Act 1973
1974 c.37	Health and Safety at Work etc. Act 1974
1975 c.65	Sex Discrimination Act 1975
1976 c.74	Race Relations Act 1976
1992 c.4	Social Security Contributions & Benefits Act 1992
1994 c.23	Value Added Tax Act 1994
1994 c.30	Education Act 1994
1995 c.50	Disability Discrimination Act 1995
1998 c.29	Data Protection Act 1998

Other provisions

HMCE 700/21	HM Customs & Excise Notice 700/21: Keeping [VAT] records and accounts
IR CA30	Statutory Sick Pay Manual for employers CA30

Statutory Instruments of the UK Parliament

S.I. 1977 / 500	The Safety Representatives and Safety Committees Regulations 1977
S.I. 1979 / 628	Social Security (Claims and Payments) Regulations 1979
S.I. 1981 / 917	The Health and Safety (First Aid) Regulations 1981
S.I. 1982 / 894	The Statutory Sick Pay (General) Regulations 1982
S.I. 1985 / 967	Social Security (Industrial Injuries)(Prescribed Diseases) Regulations 1985
S.I. 1986 / 1960	The Statutory Maternity Pay (General) Regulations 1986
S.I. 1989 / 635	The Electricity at Work Regulations 1989
S.I. 1989 / 682	The Health and Safety Information for Employees Regulations 1989

S.I. 1989 / 1790	The Noise at Work Regulations 1989
S.I. 1991 / 2680	The Public Works Contracts Regulations 1991
S.I. 1991 / 2839	Environmental Protection (Duty of Care) Regulations 1991
S.I. 1992 / 2792	The Health and Safety (Display Screen Equipment) Regulations 1992
S.I. 1992 / 2793	The Manual Handling Operations Regulations 1992
S.I. 1992 / 2932	The Provision and Use of Work Equipment Regulations 1992
S.I. 1992 / 2966	The Personal Protective Equipment at Work Regulations 1992
S.I. 1993 / 744	The Income Tax (Employments) Regulations 1993
S.I. 1993 / 3228	The Public Services Contracts Regulations 1993
S.I. 1995 / 201	The Public Supply Contracts Regulations 1995
S.I. 1995 / 3163	The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995
S.I. 1996 / 341	The Health & Safety (Safety Signs and Signals) Regulations 1996
S.I. 1996 / 972	The Special Waste Regulations 1996
S.I. 1996 / 1513	The Health and Safety (Consultation with Employees) Regulations 1996
S.I. 1997 / 1840	The Fire Precautions (Workplace) Regulations 1997
S.I. 1998 / 1833	The Working Time Regulations 1998
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. 1998 / 2573	The Employers' Liability (Compulsory Insurance) Regulations 1998
S.I. 1999 / 584	The National Minimum Wage Regulations 1998
S.I. 1999 / 3242	The Management of Health & Safety at Work Regulations 1999
S.I. 1999 / 3312	The Maternity & Parental Leave etc. Regulations 1999
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. 2002 / 2677	The Control of Substances Hazardous to Health Regulations 2002