

RECORDS RETENTION SCHEDULE

BUSINESS SCHOOL

Version 1.0

A=archival, C=current, CAY=current academic year, CFY=current financial year, CTY=current tax year, D-CON destroy confidentially, P=permanent – life of University/business need, R=review for archival selection, T=termination of staff/student status, BD= Business Decision

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Revision and Signoff Sheet

Change Record

Date	Author	Version	Change reference
03/12/2012	M Niezgoda	1.0	Initial draft for review / discussion
07/01/2012	M Niezgoda	1.0	Review panel – retention periods adjusted

Reviewers

Name	Version approved	Position	Date
A. Morrison	1.0	Assistant Dean	22.01.2013

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Records Retention Schedule

A Records Retention Schedule is a control document that sets out the periods for which the University's records should be retained to meet its operational needs and to comply with legal and other requirements.

A Records Retention Schedule is an essential component of an efficient and effective records management system. Properly developed and consistently implemented, a Records Retention Schedule protects the interests of the University and its stakeholders by ensuring that business records are kept for as long as they are needed to meet operational needs and to comply with legal requirements and are then disposed of securely.

1. What does the Record Retention Schedule Cover?

The Records Retention Schedule provides generic guidance on retention of records, which University's commonly generate in the course of:

- Their core academic work;
- Developing their relationship with their stakeholders;
- Managing the University as a corporate body.

It covers key group of records generated by the common business functions and business activities of University's. The retention periods in this document are taken largely from the JISC Records Retention Schedule, which is based on extensive research and consultation with a wide range of Universities. However, it is not intended to be either prescriptive or exhaustive.

2. What does the Records Retention Schedule contain?

Description of records:

For each business activity, the schedule lists common groups of records which relate to individual sub-activities or processes. For example:

Course Development and Accreditation

Records from this process include: Course Handbooks, Course Catalogue, Curriculum document, CPD Course Documentation

Retention period:

Statutory retention periods are indicated by a citation. These should be regarded as minimum retention periods. For business reasons, it may be advisable to retain some records for longer than these statutory periods.

All other retention periods are recommended minimum periods, based on assessments of common University needs and potential legal liabilities.

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A key detailing the retention symbols i.e. 'CTY' is listed at the bottom of each page of the records retention schedule.

Retained by:

This section details where the master record i.e. 'original' should be retained and who has responsibility for retention.

Citation:

Citations are given for key Acts of Parliament, Statutory Instruments and regulations, which are relevant to determining retention periods for the groups of records concerned. Those cited should not be regarded as the only ones that may be relevant.

Format:

This section describes the format in which records are retained i.e. Electronic (E), Hard Copy (H) or both formats (H+E).

Location:

A physical (i.e. 'CRL'= Craiglockhart together with a specific room number) and / or a virtual (i.e. S-Drive / SharePoint) location is stated under this section. Furthermore, where relevant, the information about offsite storage facility is also provided.

Final Action:

Final action details what should happen to the record once it no longer needs to be retained. There are some documents which will be of archival value to the University and these should be retained permanently. If a document is to be retained long-term special arrangements will be made to transfer it off-site to a storage facility.

Many of the records the school creates and manages will contain personal information. It is important to ensure that these records are disposed of correctly and in line with guidance issued by the University's Data Protection Officer. Records which contain personal or sensitive personal information should be disposed of by using the shredding consoles which available within the faculty.

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Records Series		Retention	Retained by	Citation	Final action	Format	Location	Notes
1. Module and programme approval								
1.1	Completed business case	CAY+5 years	Faculty Quality Adviser	BD	D-Con	H	CRL-2/62	Signed document therefore paper copy
1.2	Business plan (collaborative and commercial programmes)	CAY+5 years	International Programmes Adviser / Business Operations Manager (EI)	BD	D-Con	H+E	SharePoint CRL-2/62 CRL-1/04	Includes bespoke programmes / courses run by Edinburgh Institute (EI) Originals relating to overseas delivery are retained by International Programmes Adviser, and those in connection to EI's operations by Business Operations Manager
1.3	Record to indicate account has been taken of the module and programme approval procedure (to include module descriptor changes for approval, signed changed form and signed off approved module descriptor and Joint University Panel papers and reports and signed off approved programme specification).	CAY+5 years	Faculty Quality Adviser	BD	D-Con	H	CRL-2/62	Includes signed documents therefore paper record

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2. Programme and module information								
2.1	Student Handbooks	CAY+5 years	Faculty Quality Adviser	BD	D-Con	E	S-Drive	
2.2	Current Programme specification	CAY+5 years	Faculty Quality Adviser	BD	D-Con	E	S-Drive	
2.3	Current module descriptor	CAY+5 years	Faculty Quality Adviser	BD	D-Con	E	S-Drive	
2.4	Module packs including overseas flexible delivery modules	CAY+5 years	Module Leaders / Academic Adviser	BD	D-Con	E	S-Drive	
2.5	Faculty promotional materials	CAY+1 year	Web Administrator	BD	D-Con	H+E	C-Drive CRL-2/60	
2.6	Timetabling information	CAY+1 year	Assistant Faculty Operations Manager	BD	D-Con	H	CRL-1/53	
2.7	Agendas and papers of Programme Management Meetings including faculty flexible programmes (SSLC, Programme Board of Studies, Approvals Board)	CAY+5 years	Assistant Faculty Operations Manager	BD	D-Con	H+E	S-Drive CRL-1/53	
2.8	Approval of programme titles for faculty flexible programmes	CAY+5 years	Faculty Quality Adviser	BD	D-Con	H	CRL-2/62	

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2.9	FE articulation arrangements and agreements (COPY)	End of period of agreement +6 years	Academic Adviser	P&L Scotland Act 1973	D-Con	H	CRL-2/60	
2.10	Signed Collaboration Agreements (COPY)	End of period of agreement +1 year	Faculty Quality Adviser	BD	D-Con	H	CRL-2/62	
2.11	Signed memorandum of understanding (COPY)	End of period of agreement +6 years	Faculty Administrator	P&L Scotland Act 1973	D-Con	H	CRL-2/61	
3. Learning, Teaching & Assessment								
3.1	Graduate Attribute Statements	1 year after agreement of next set of attributes	Faculty Quality Adviser	BD	D-Con	E	S-Drive	
3.2	School culture documents	1 year after agreement of next culture document	Head of School	BD	D-Con	H+E	S-Drive	
3.3	Final versions of assessment instruments (i.e. exam papers and moderation records)	CAY+5 years	Faculty Administrators (School Based)	BD	D-Con	E	S-Drive	

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3.4	Samples of students' assessed work (including evidence and outcomes of internal and external moderation)	CAY+5 years	Faculty Administrators (School Based)	BD	D-Con	H		The sample should be representative of the whole assessments, top, middle and bottom. It is required to retain a minimum of 6 samples from any given assessment
3.5	Dissertation samples (including evidence and outcomes of internal and external moderation)	CAY+5 years	Assistant Faculty Operations Manager	BD	D-Con	H	CRL-1/53	The sample should be representative of the whole assessments, top, middle and bottom. It is required to retain a minimum of 6 samples from any given assessment
4. External Examiners								
4.1	External Examiner report (COPY)	CAY+5 years	Faculty Quality Adviser	BD	D-Con	E	S-Drive	Copy of original retained by Academic Quality in accordance with their retention schedule
4.2	Response to External Examiner annual report	CAY+5 years	Faculty Quality Adviser	BD	D-Con	E	S-Drive	

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4.3	Approval of response to External Examiner	CAY+5 years	Faculty Quality Adviser	BD	D-Con	E	S-Drive	
4.4	External Examiner files of: <ul style="list-style-type: none"> Correspondence with External Examiners; Records documenting the application and approval of appointment of external examiners, contracts and appointment letters. (COPY) Personal details Extension of appointment letters (COPY) 	End of contract +1 year	Faculty Quality Adviser	BD	D-Con	H	CRL-2/62	The original of anything referenced as a copy is retained by Academic Quality according to their retention schedule
4.5	External Examiner – change to duties that brings a fee change (COPY)	End of contract +1 year	Faculty Quality Adviser	BD	D-Con	H	CRL-2/62	Copy of original retained by Academic Quality in accordance with their retention schedule
4.6	External Examiner – change to duties that brings no fee change	End of contract +1 year	Faculty Quality Adviser	BD	D-Con	H	CRL-2/62	
5. Routine Monitoring								
5.1	Module Reports	CAY+5 years	Faculty Quality Adviser	BD	D-Con	E	S-Drive	

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5.2	Module Questionnaires	CAY+5 years	Assistant Faculty Operations Manager & Modules Leaders	BD	D-Con	E	S-Drive	
5.3	Subject Leader Reports	CAY+5 years	Faculty Quality Adviser	BD	D-Con	E	S-Drive	
5.4	Programme Evaluation Reports	CAY+5 years	Faculty Quality Adviser	BD	D-Con	E	S-Drive	
5.5	Head of School Report	CAY+5 years	Faculty Quality Adviser	BD	D-Con	E	S-Drive	
5.6	Faculty Report	CAY+5 years	Faculty Quality Adviser	BD	D-Con	E	S-Drive	

6. Professional Body Accreditation

6.1	Papers for events and programme accreditation submission documents	CAY+5 years or to next submission point whichever is longer	Programme Leader	P&L Scotland Act 1973	D-Con	E	S-Drive	
6.2	Papers for Faculty accreditation	CAY+5 years or to next submission point whichever is longer	Faculty Quality Administrator	BD	D-Con	H+E	S-Drive CRL-2/60	

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6.3	Report of visit and professional body accreditation outcomes and reports	CAY+5 years	Programme Leader	BD	D-Con	H+E	S-Drive	
6.4	Response to professional body report	CAY+5 years	Programme Leader	BD	D-Con	H+E	S-Drive	
6.5	Records of obtaining approval and/or accreditation for taught programmes from professional, statutory or other accreditation bodies	CAY+4 years	Faculty Quality Adviser	BD	D-Con	H+E	S-Drive CRL-2/62	
7. Teaching Quality and Standards								
7.1	University subject review documentation (COPY)	Until end of each review cycle+5 years.	Head of School	BD	D-Con	H		Original held in Academic Quality
7.2	Enhancement-led institutional review documentation (COPY)	Until next review is complete	Faculty Quality Adviser	BD	D-Con	H	CRL-2/62	Copy – original held in Academic Quality / Office of Vice Principal (Academic)

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8. Student Records								
8.1	Appeals and Complaints (COPY)	End of final action on case+6 years	Faculty Operations Manager	P&L Scotland Act 1973	D-Con	H	CRL-2/62	Academic Conduct Officer (ACO) keeps originals
8.2	Records relating to a breach of Academic Conduct Regulations	End of final action on case+6 years	Academic Conduct Officer	P&L Scotland Act 1973	D-Con	H		
8.3	Placement Information	CAY+5 years	Placement Co-ordinator	BD	D-Con	H+E	S-Drive CRL-1/49	
8.4	Student Research Information (COPY)	Graduation +6 years	Faculty Administrator	P&L Scotland Act 1973	D-Con	H+E	S-Drive CRL-1/04	Student and Academic Services retain originals of all research documents
8.5	Tier four monitoring reports and associated correspondence	CAY+6 years	Assistant Faculty Operations Manager	P&L Scotland Act 1973	D-Con	H+E	S-Drive CRL-1/53	
8.6	Tier four programme board & outcomes	CAY+6 years	Faculty Quality Adviser	P&L Scotland Act 1973	D-Con	H+E	S-Drive CRL-2/62	
8.7	Extenuating Circumstances Board agendas, minutes and papers	CAY+6 years	Faculty Operations Manager	P&L Scotland Act 1973	D-Con	H+E	S-Drive CRL-2/62	
8.8	Extenuating Circumstances claims	CAY+6 years	Faculty Operations Manager	P&L Scotland Act 1973	D-Con	H	CRL-2/62	

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9. Board of Examiners								
9.1	Minutes of Board of Examiner meetings	CAY+6 years	Assistant Faculty Operations Manager & Faculty Administrators	BD	D-Con	H+E	S-Drive CRL-1/53	
9.2	Master set of annotated Module and Programme Board of Examiner sheets	CAY+6 years	Assistant Faculty Operations Manager & Faculty Administrators	BD	D-Con	H	CRL-1/53	
10. Committees								
10.1	Agenda, papers and minute of Academic Board Substructure committees of: <ul style="list-style-type: none"> • Faculty Board; • Academic Ethics and Research Governance Committee; • Research Knowledge and Exchange Committee; 	CAY+10 years	Clerk of the Committee who will be a Faculty Administrator	BD	D-Con	H+E	S-Drive	

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	<ul style="list-style-type: none"> Academic Strategy and Enhancement Committee 							
10.2	Faculty International Group	CAY+5 years	Faculty Administrator	BD	D-Con	H+E	S-Drive CRL-2/61	
11. Human Resources								
11.1	Flexitime sheets	Current quarter+ the previous quarter	Line Manager	BD	D-Con	H+E	S-Drive	In line with the HR policy the records kept are both electronic and hardcopy
11.2	Termination of employment letter (COPY)	T	Head of Business and Administration	BD	D-Con	H	CRL-2/59	HR retain original letters when termination arises from: voluntary resignation, redundancy, retirement or dismissal
11.3	References (letters of reference)	CAY+1 year	Line Manager	BD	D-Con	H		
11.4	Departmental Structure	1 year after agreement of next structure	Head of Business and Administration	BD	D-Con	H	CRL-2/59	
11.5	Absence – medical certificates and self-certificate forms (COPIES)	CAY+1 year	Line Manager	BD	D-Con	H		Original documentation is retained by HR according to their retention schedule. Line managers must forward the original documentation to HR

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11.6	Absence – Monthly returns to Payroll, return to work forms (COPIES)	CAY+1 year	Line Manager	BD	D-Con	H		Original documentation is retained by HR according to their retention schedule. Line managers must forward the original documentation to HR
11.7	Absence – Maternity leave forms (COPIES)	CAY+1 year	Line Manager	BD	D-Con	H		Original documentation is retained by HR according to their retention schedule. Line managers must forward the original documentation to HR
11.8	Health and Safety - Accident and incident reports	CAY	School Office hold accident book	P&L Scotland Act 1973	D-Con	H	CRL-1/53	Key record is held by Health and Safety Department in line with Health and Safety at Work Act 1974
11.9	Grievances (COPIES)	CAY+1 year	Head of School	BD	D-Con	H		These documents must be stored securely due to DPA consideration Retention period begins on date of completion of the dispute process. HR are the key record holders of this information and will retain it for closure of case plus 6 years

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11.10	Job Descriptions – specification for positions held whilst in the department	T	Line Manager	BD	D-Con	E	S-Drive	
11.11	Leave – special and statutory leave arrangements (COPIES)	CAY+1 year	Line Manager	BD	D-Con	H+E	S-Drive	Current leave year runs from September to August
11.12	Occupational Health – referral letters and outcomes (COPY)	CAY+10 years	Line Manager	BD	D-Con	H		Original documentation is retained by HR according to their retention schedule. Line managers must forward the original documentation to HR; Unit referrals by self or Line Manager. Retention period begins after last treatment
11.13	PDR preparation form, learning and development plan, personal action plan	CAY+1 year	Line Managers and member of staff	BD	D-Con	H		
11.14	Teaching Associates	CAY+5 years	Business Operations Manager	P&L Scotland Act 1973	D-Con	E	SharePoint	Tender forms retained by the EI
12. Finance (the copies listed are kept to aid checking payment / delivery queries that may arise)								

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12.1	Departmental budget accounts (COPIES)	CAY	Head of Business Administration; Head of School	BD	D-Con	H+E	S-Drive CRL-2/59	Covers routine income from, University teaching and research funding. Also specific reports on a specific account and may include salary forecasts
12.2	Purchase card records – card statements and receipts (invoice/receipts and not just VAT receipts) (COPIES)	CAY	Purchase cardholders	P&L Scotland Act 1973	D-Con	H		Examples: bank statements, receipts, order information/delivery notes. Finance Office will retain the Purchasing card transaction log for CFY+6 years
12.3	Purchase orders (COPIES) and delivery notes (ORIGINALS)	CAY	School and Faculty	P&L Scotland Act 1973	D-Con	H		The main record is held on Agresso system which is then retained for CFY+6 years
12.4	Expenses claim forms (FIN3, FIN4, FIN5, FIN6) and receipts (invoice/receipts and not just VAT receipts) (COPIES)	CAY	School and Faculty	P&L Scotland Act 1973	D-Con	H		Records documenting the payment and/or reimbursement. Finance will retain their records for CFY+6 years

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14. Faculty Operations								
14.1	Asset management record	CAY+1 year	Web Administrator	BD	D-Con	E	C-Drive	List of IT equipment with asset tags
14.2	Consent forms (COPIES)	CAY	Web Administrator	BD	D-Con	E	S-Drive	Signed copies of consent forms for publication of photographs taken during the Business School events i.e. graduations, conferences
14.2	Faculty Operations plan	CAY+1 year	Head of Business and Administration	BD	D-Con	E	S-Drive	
14.3	School Operations plan	CAY+1 year	Head of School	BD	D-Con	E	S-Drive	

Signed _____ (Head of Department) Date _____

Print name _____ Job title _____

Signed _____ (Governance and Management Services) Date _____

This signed off schedule authorises the Business School Faculty to destroy life-expired records they hold without further instruction. It must not be amended without first consulting Governance and Management Services.

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