



RECORD RETENTION SCHEDULE

Planning & Business Intelligence

January 2018

Revision and Signoff Sheet

Change Record

Date	Author	Version	Change reference
20171121	Aimi Richmond	0.1	Initial draft for review/discussion
20180131	Nicola Kivlichan	0.2	Update of initial draft
20180131	Aimi Richmond	0.3	Added destruction date table to Section 7. Added citations where missing (BR). Amended wording for trigger point in 2.5

Reviewers

Name	Version approved	Position	Date

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i) **Records Retention Schedule – Purpose and Guidance**

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 appropriately.

Records Retention Schedules facilitate the University's compliance with legislation, for example, the Data Protection Act 1998 Principle 5 states that personal data "shall not be kept for longer than necessary", and for the purposes of the Freedom of Information (Scotland) Act 2002, managing records in a corporately organised way enables public bodies to respond, as required by FOI(S)A, in a way that a) ensures compliance with legislative requirements, and b) with the minimum amount of effort. Records Retention Schedules promote improved records management practices, ensuring that information is accessible whilst protecting privacy and personal data. They assist with preventing premature disposal of records retained to satisfy legal, business, financial, etc. requirements and ensure that information is disposed of timeously or retained permanently, if required.

Records are the result of the functions, activities and tasks undertaken by the University and the retention schedule is therefore arranged accordingly to reflect the business processes undertaken.

Departments/teams must have at least one destruction event per year. Using their Records Retention Schedule to destroy the records in each series which have reached their destruction date. For more information/advice contact Governance Services.

1. What does the Records Retention Schedule Cover?

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

- Their core academic work;

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- Managing the University as a corporate body;
- Developing their relationship/s with their stakeholders.

It covers key groups of records generated by the common business functions and business activities of Universities. The retention periods in this document have been approved after consultation with key stakeholders following guidance from sources such as 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, but as detailed as possible to assist users with managing records.

2. Reviewing the Records Retention Schedule

This Records Retention Schedule will be reviewed periodically to ensure it still meets requirements – minor updates as and when required and a general review biennially.

ii) **What does the Records Retention Schedule contain?**

1. Arrangement and Description of Records

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

Student Returns & Student Queries

Records from this process include: student details with information including matriculation numbers, dates of birth, course details, school details, disabilities etc.

or

Student Surveys

Records from this process include: details of students eligible to complete the relevant survey and responses provided to the survey.

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2. Retention Period and Trigger Point

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.

Although retention periods are often dictated by legislation and regulations, they are related to the rationale for keeping the record in the first place and therefore frequently required for business needs and external bodies. If this is the case, this information should be included in the 'Citation/Rationale' column for future reference (*) e.g. RRS review.

The 'trigger point' is when the retention period starts and this may be the current financial year (CFY), termination date (T) which may apply to supplier contracts, employment contracts, student status, etc. Trigger points can be specific e.g. contract termination (T) or general (CFY) depending on the citation.

Common acronyms e.g. 'CTY' are listed at the bottom of each page of the records retention schedule.

3. Retained by

This section details where the master record e.g. 'original' should be retained and who has responsibility for keeping it (job title, not individual's name).

4. Citation/Rationale

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. As mentioned above in 2) (*) the rationale for keeping the record in the first place is useful for deciding the retention period and particularly when reviewing the records retention schedule. Please note here if the retention period is dictated by business requirements.

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5. 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 for a long period or permanently, special arrangements will be made to transfer it off-site to a storage facility. Governance Services can provide advice and assistance with this.

Many of the records the University staff members create and manage 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 in all University premises.

6. Records Category, Storage Location & Format

Records should be categorised as to whether they are Vital, Important, Useful or Non-Essential as this may affect how they are stored e.g. vital records may be kept in a fire proof safe, electronically and off-site, whilst Non-Essential records may only be stored electronically. Vital records should also be listed on Business Continuity Plan documents.

The storage location information is necessary to a) ensure records can be found (for both use and disposition), b) identifying copies (those not holding the golden copy/master record can be sure theirs is a copy and therefore ephemeral), and c) inform future RRS reviews.

The format in which records are detailed here along with the location details. The format can be described simply as H, E or H+E (e.g. hardcopy, electronic or both formats).

A physical (e.g. CR = Craiglockhart, ME = Merchiston and SI = Sighthill, together with a specific room number) and/or an electronic (e.g. S:Drive or Sharepoint) location is stated under this section. Where relevant, the information about off-site storage must also be provided.

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7. Records Destruction (including electronic records)

Service Areas and Schools must ensure that regular disposal events are scheduled, at least annually, but more often where there are retention periods less than a year e.g. during a quieter period of the year an annual destruction event is scheduled to ensure records which have reached the end of their retention period are destroyed.

Please ensure a Record Disposal Form (see Appendix A) is completed whenever records are destroyed. These would be permanent records. The form will be retained centrally by Governance Services. A copy of the disposal form is also available on the staff intranet.

Back-up copies stored by Information Services and/or other areas of the University must be destroyed at the same time as the 'golden' copy (other copies may be destroyed before this according to business requirements).

A 'hold' should be placed on the destruction date for records if there the information is required in response to a request under information legislation or litigation purposes. This 'hold' can be applied by removing the information in question from a repository where it would be destroyed in the course of normal procedures e.g. removing it from an archive box which is managed off-site and scheduled from destruction. However, a review/new destruction date must be set to ensure that once the information has been used for the legal purposes it was required for it is re-scheduled for destruction in due course.

Please ensure that the destruction of records complies with the Manual and Physical Data Security Policy (section 5 refers) and Guidance on the Safe Disposal of Confidential Waste.

A destruction day will be held annually, beginning from the year following the date this schedule is published, please record these below:

Date Destruction Day Due	January 2019	January 2020	January 2021	January 2022	January 2023	January 2024	January 2025	January 2026	January 2027
Date Completed									

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8. Records Retention Schedule Approval Process

(Departmental procedure to be agreed with Governance Services e.g. minor updates aggregated for annual review and approval by Director of Service/Institute, Head of School, etc.)

iii) Legislation affecting the management of Planning & Business Intelligence Records

Acts and Statutory Instruments

1998 c.29	Data Protection Act 1998
2010 c.15	Equality Act 2010

Other provisions

N/A

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iv) Retention Schedule

Record Series	Retention Period & Trigger	Retained by	Citation/ Rationale	Final action	Records category (Vital/Important/User ul/Non-essential) & storage location
1. Function 1 - Development and establishment of the University Planning Process					
1.1	Records documenting the University Planning Process	Superseded + 5 years	Head of Planning & Business Intelligence	Business requirement – kept for audit purposes	Review for archival value
2. Function 2 - Management Information Collection, Analysis and Reporting					
2.1	Dataset specifications and protocols for submission and collation of data	Superseded	Senior Planning Officer	JISC guidance	R
2.2	Management information reports (including routine and ad hoc analyses and reports)	CAY + 3 years	Senior Planning Officer	JISC guidance	R
2.3	HESA Returns	CAY + 3 years	Senior Planning Officer	JISC guidance	R

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Record Series	Retention Period & Trigger	Retained by	Citation/ Rationale	Final action	Records category (Vital/Important/User u/Non-essential) & storage location
2.4 SFC Returns	CAY + 3 years	Senior Planning Officer	JISC guidance	R	1 [Redacted]
2.5 COGNOS – completed staff forms allowing access to the system.	Termination	Senior Planning Officer	BR	D-CON	1 [Redacted]
2.6 Annual private consortium purchase of sector HESA student data.	Requires annual review. Annual licence renewal from HESA required for each previous years data still in use by the University. Data older than five years should be destroyed annually and HESA notified license no longer required for that year.	Senior Planning Officer	Business requirement – kept for market intelligence purposes.	D-CON (on termination of contract with HESA)	1 [Redacted]

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Record Series	Retention Period & Trigger	Retained by	Citation/Rationale	Final action	Records category (Vital/Important/User ul/Non-essential) & storage location
3. Function 3 - Corporate Planning and Performance Management					
3.1	Corporate Planning & Performance Management Policy Development – Key papers	Superseded + 10 years	Head of Planning & Business Intelligence	JISC guidance R	I [REDACTED]
3.2	Corporate Planning & Performance Management Policy Development – Working papers	Issue of policy + 1 year	Head of Planning & Business Intelligence	JISC guidance R	I [REDACTED]
3.3	Strategic Planning – Key papers	Superseded + 10 years	Head of Planning & Business Intelligence	JISC guidance R	I [REDACTED]
3.4	Strategic Planning – Working papers	Publication of strategic plan + 1 year	Head of Planning & Business Intelligence	JISC guidance R	I [REDACTED]
3.5	Strategic Performance Management (KPIs, benchmarking, monitoring) - data	CAY + 5 years	Senior Planning Officer	JISC guidance R	I [REDACTED]

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	on, and analyses of, the institution's performance against its strategic plan.				
3.6	Strategic Performance Management (KPIs, benchmarking, monitoring) - reports on the institution's performance against its strategic plan	Head of Planning & Business Intelligence	JISC guidance	R	I [REDACTED]
3.7	Operational Planning – Key records	Head of Planning & Business Intelligence	JISC guidance	R	I [REDACTED]
3.8	Operational Planning Working papers	Head of Planning & Business Intelligence	JISC guidance	R	I [REDACTED]
3.9	Operational Performance Management - Records documenting the development of the institution's key performance indicators	Head of Planning & Business Intelligence	JISC guidance	R	I [REDACTED]

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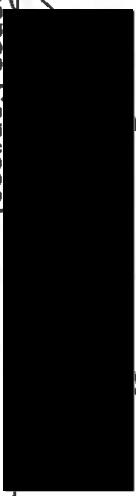
Record Series	Retention Period & Trigger	Retained by	Citation/ Rationale	Final action	Records category (Vital/Important/User ul/Non-essential) & storage location	
3.10	Operational Performance Management - Records documenting benchmarking exercises with other comparable institutions	CAY + 1 year	Senior Planning Officer	JISC guidance	R	U [REDACTED]
3.11	Operational Performance Management - Records documenting performance monitoring and analysis.	CAY + 1 Year	Senior Planning Officer	BR	R	I [REDACTED]
4. Function 4 - Student Experience / Student Surveys						
4.1	Student Survey records of eligible participants	Superseded	Head of Market & Student Intelligence	BR 1998 c.29	D	U [REDACTED]
4.2	DLHE paper based records from telephone based survey	1 year after survey completed	Head of Market & Student Intelligence	HESA guidance	D-CON	I [REDACTED]
4.3	Module Survey – paper based completed questionnaires	1 year after survey completed	Market Intelligence Officer	In line with guidance on DLHE questionnaires	D-CON	I [REDACTED]

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Record Series	Retention Period & Trigger	Retained by	Citation/ Rationale	Final action	Records category (Vital/Important/User ul/Non-essential) & storage location		
4.4	Raw survey data (student responses)	1 year after survey completed	Head of Market & Student Intelligence	BR 1998 C.29	R	I	[REDACTED]
4.5	Proposals from Market Research agencies in relation commissioned research projects	3 years after project completed	Head of Market & Student Intelligence	BR	R	I	[REDACTED]
5. Function 5 - Planning Function							
5.1	League tables – records documenting data for submission.	CAY + 3 years	Senior Planning Officer	BR	R	I	[REDACTED]
5.2	Outcome Agreements – records relating to student data.	CAY + 3 years	Senior Planning Officer	BR	R	I	[REDACTED]
5.3	WAM / TRAC – records relating to the student, finance, estate and staff data which feed into the production of drivers.	CAY + 3 years	Senior Planning Officer	BR	R	I	[REDACTED]

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v) Approval

Signed _____ (Head of Department)	Date <u>31/1/18</u>
Print Name <u>Ms Debra Quirk</u>	Job Title <u>HEAD OF PLANNING & BUSINESS INTELLIGENCE</u>
Signed  (Governance Services)	Date <u>31/1/18</u>

This signed off schedule authorises Planning & Business Intelligence to destroy life-expired records they hold in accordance with the recommended retention periods and to provide a copy of all Records Disposal Forms to Governance Services. It must not be amended without first consulting Governance Services.

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Destruction Approvals:

Head of School/Department/Service _____ **Signature** _____ **Date** _____

Records Manager _____ **Signature** _____ **Date** _____

Destroyed By _____ **Signature** _____ **Date** _____

Please retain this form within the school/service area and return a copy to Governance Services, email: A.Richmond@napier.ac.uk

Please ensure:

- 1) There is no pending litigation before destroying records
- 2) Records are disposed of in accordance with the recommended guidelines, which are available on the staff intranet or from Governance Services

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