

RECORD RETENTION SCHEDULE

DEPARTMENT OF LEARNING AND TEACHING ENHANCEMENT

January 2018

Revision and Signoff Sheet

Change Record

Date	Author	Version	Change reference
20170309	Louise McCarte	0.1	Initial draft for review/discussion
20170728	Louise McCarte	0.2	Updated draft version
20170920	Aimi Richmond	0.3	Draft version with comments
20171102	Louise McCarte	0.4	Updated draft version
20171116	Aimi Richmond	0.5	Amended retention period from 5 years to 6 for 1973 c.52 rationale. Removed above rationale where it does not apply Added note to 3.1 re previous retention policy Reference to annual destruction day added to Section 7
20171205	Louise McCarte	0.6	Updated draft version
20171206	Aimi Richmond	0.7	Amended rational in 7.3 and 7.5
20180104	Aimi Richmond	1.0	Approved and signed off by Brian Webster Henderson for DoLTE and Aimi Richmond for Governance Services

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Reviewers

Name	Version approved	Position	Date
Brian Webster Henderson	1.0	Dean of Learning and Teaching	20171208
Aimi Richmond	1.0	Governance Adviser (Records Management)	20180104

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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.

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

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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:

Procurement

Records from this process include: strategy development, performance management, planning, policy development, supplier approval, supplier contract tendering, supplier contract management and purchasing administration.

or

Course Development and Accreditation

Records from this process include: Course Handbooks, Course Catalogue, Curriculum Document, CPD Course Accreditation.

2. Retention Period and Trigger Point

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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.

5. Final Action

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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.

7. Records Destruction (including electronic records)

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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.

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, Dean of Faculty, Head of School, etc.)

iii) Legislation affecting the management of [Department of Learning and Teaching Enhancement Records](#)

Acts and Statutory Instruments

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1973 c.52	Prescription and Limitation (Scotland) Act 1973
1998 c.29	Data Protection Act 1998
2010 c.15	Equality Act 2010

Other provisions

[SEDA and HEA Guidance](#)

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iv) Retention Schedule

Record Series		Retention Period & Trigger	Retained by	Citation/ Rationale	Final action	Records category (Vital/Important/Useful/Non-essential) & storage location
1. Programme and Module Accreditation						
1.1	Programme accreditation submission documents	CAY+ 6 years	Learning and Teaching Enhancement Administrator (Programme Admin)	1973 c.52	D	I Electronic [REDACTED]
1.2	Professional body accreditation outcomes and reports	CAY+6 years; electronic copies only	Learning and Teaching Enhancement Administrator (Programme Admin) / Learning and Teaching Enhancement Administrator (HEA)	BR	R	I Electronic [REDACTED] [REDACTED]
1.3	Feedback on taught modules from staff and examiners: individual feedback	CAY+6	Programme Leader	1973 c.52	D	I [REDACTED]

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Record Series		Retention Period & Trigger	Retained by	Citation/ Rationale	Final action	Records category (Vital/Important/Useful/Non-essential) & storage location	
1.4	Definition and development of new programmes including identification and analysis of market needs of new programmes (i.e. programme outline, prospectus, programme guides)	CAY+6 years	Learning and Teaching Enhancement Administrator (Programmes)	BR	R	I	Electronic [REDACTED])
1.5	Final versions of taught module assessment instruments	Termination of course +6 Years	Learning and Teaching Enhancement Administrator (Programmes)	BR	D	I	Electronic [REDACTED]

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2. Programme Portfolio						
2.1	Student Handbooks	CAY +6 years	Programme Leader	BR	R	I [REDACTED]
2.3	Approved Annual Report	CAY +6 years	Learning and Teaching Enhancement Administrator (Programmes)	BR	D	I Electronic [REDACTED])
2.4	Minutes, agendas and papers of Programme Management Meetings (SSLC, Programme Board of Studies, Programme Board of Examiners)	CAY +6 years.	Learning and Teaching Enhancement Administrator (Programmes)	BR	D	I Electronic [REDACTED]
2.5	Programme Spreadsheets / Programme Board papers	CAY +6 years	Learning and Teaching Enhancement Administrator (Programmes)	BR	D	I [REDACTED]

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3. Module Portfolio					
3.1	Module descriptors	Permanent N.B – this retention policy is effective from the date of publication of this schedule Previous to this the retention period was 5 years after module end	Learning and Teaching Enhancement Administrator (Programmes)	BR	A I Electronic ([REDACTED])
3.2	Details of planned learning and teaching activities	CAY +2	Programme Leader	BR	D I [REDACTED]
3.3	Assessment procedures and Information	CAY +2	Programme Leader	BR	D I [REDACTED]

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3.5	Student's assessed work, including evidence and outcomes of internal and external moderation.	CAY + 6 Years	Programme Leader	1973 c.52	D(Con)	I	[REDACTED]
3.6	External Examiner Reports	CAY + 6 years	Learning and Teaching Enhancement Administrator (Programmes)	1973 c.52	D (Con)	I	Electronic [REDACTED])
3.7	Approved Annual Monitoring Module Report	CAY + 6 years	Learning and Teaching Enhancement Administrator (Programmes)	BR	D		Electronic [REDACTED])
3.8	Module Board of Examiners agendas, minutes and papers	CAY + 6 years. Minutes to be kept permanently.	Learning and Teaching Enhancement Administrator (Programmes)	-BR	D	I	Electronic [REDACTED]

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3.9	Appeals Records	End of final action on case + 6 years.	Appeals/complaints investigation officer	1973 c.52	D (Con)	I	Copies held in Electronic [REDACTED]
4. ENroute							
4.1	Cohort Progress	CAY+2 years	Learning and Teaching Enhancement Administrator (HEA)	External body requirements (HEA)	D(Con)	U	[REDACTED]
4.2	Accreditation documentation submitted to HEA for approval	CAY+2 years	Learning and Teaching Enhancement Administrator (HEA)	External body requirements (HEA)	D(Con)	I	[REDACTED]

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4.3	Participant application documents	CAY+2 years	Learning and Teaching Enhancement Administrator (HEA)	1998 c.29 & BR	D(Con)	I	[REDACTED]
4.4	Professional dialogue recordings	CAY + 2 years	Learning and Teaching Enhancement Administrator (HEA)	1998 c.29 & BR	D(Con)	I	[REDACTED]
4.5	Reviewer Forms	CAY + 2 years	Learning and Teaching Enhancement Administrator (HEA)	BR Confidential information due to nature of documents and link to promotion and 2020 strategy target	D(Con)	I	[REDACTED]
4.6	External Examiner Reports	CAY + 2 years	Learning and Teaching Enhancement	1973 c.52	D(Con)	I	[REDACTED]

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			Administrator (HEA)				
4.7	ENroute marketing materials	Until superseded	Publications Officer	BR	R	U	[REDACTED]
4.8	Agendas and papers of Review Board	Exam board date+3 years	Learning and Teaching Enhancement Administrator (HEA)	BR	D(Con)	I	[REDACTED]
4.9	Records documenting guidance for applicants, participants, reviewers and mentors	Until superseded	Learning and Teaching Enhancement Administrator (HEA)	BR	D (Con)		[REDACTED]
4.10	Appeals Records	End of final action on case + 6 years.	Appeals/complaints investigation officer	1973 c.52	D(Con)		[REDACTED]

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5. Quality and Standards						
5.1	Internal monitoring	Until end of each review cycle + 6	Quality and Standards Team	1973 c.52	D	Electronic [REDACTED]
5.2	Quality assurance and enhancement procedures and related committee papers indicating approval, review and replacement	Superseded + 6	Quality and Standards Team	1973 c.52	D	Electronic [REDACTED]



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5.3	Academic regulations and related committee papers indicating approval, review and replacement	Superseded + 10	Quality and Standards Team	1973 c.52 + BR	D	Electronic [REDACTED]
5.4	Enhancement-led institutional review documentation	Until superseded	Quality and Standards Team	1973 c.52	D	Electronic [REDACTED]
5.5	Collaboration Agreements	End of period of agreement + 6 years	Quality and Standards Team	BR	D-Con	[REDACTED]
5.6	External Examiner Reports	CAY + 6	Quality and Standards Team	BR	D-Con	Electronic [REDACTED]
5.7	External Examiners files: personal information, correspondence,	End of contract +1	Quality and Standards Team	1998 c.29	D-Con	Electronic [REDACTED]




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	selection and appointment, contracts						Hard Copies [REDACTED]
5.8	Sub-committees of Academic Board	CAY + 6	Quality and Standards Team	1973 c.52 BR	D-Con		Electronic [REDACTED]
6. Publications							
6.1	Teaching Fellows Journal online and in print	Permanent	Publications Officer	BR	A	I	[REDACTED]
6.2	JPAAP online	CAY + 6 years	Publications Officer	BR	R	I	JAAP
6.3	Organisational chart	Superseded + 6 years	Publication Officer	BR	D(Con)	I	[REDACTED]

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7. Finance							
7.1	Departmental budget accounts (COPIES)	CFY +1	PA to the Dean of Learning & Teaching	1973 c.52	D(Con)	N E	
7.2	Internal Orders	CFY	PA to the Dean of Learning and Teaching	1973 c.52	D(Con)	N E	

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7.3	Purchase card records – card statements and receipts (COPIES)	CFY +1	PA to Dean of Learning and Teaching/ Learning and Teaching Enhancement Administrator (Teaching Fellows)	BR	D(Con)	N E	
7.4	Purchase orders Agresso	CFY +1	PA to Dean of Learning and Teaching	1973 c.52 and BR	D(Con)	N E	
7.5	Expenses claim forms (FIN3, FIN4, FIN5, FIN6) (COPIES)	CFY +1 year	PA to Dean of Learning and Teaching / Learning and Teaching Enhancement Administrator (Teaching Fellows)	BR	D(Con)	N E	

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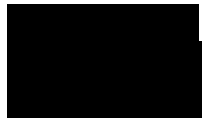
Record Series		Retention Period & Trigger	Retained by	Citation/ Rationale	Final action	Records category (Vital/Important/Useful/Non-essential) & storage location	
8. Human Resources							
8.1	Absence – medical certificates and self-certificate forms (ONLINE)	N/A – HR Responsible	PA to Dean of Learning and Teaching	Statutory Sick Pay (General) regulations 1982 (SI1982/894), Updated by SI 2005 no.989.	D(Con)	U I	██████████
8.2	Absence –return to work forms (ONLINE)	N/A –HR Responsible	PA to Dean of Learning and Teaching	1973 c.52	D(Con)	U	██████████ ██████████

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8.3	Absence – Maternity leave forms (ONLINE)	N/A-HR Responsible	Dean of Learning and Teaching/ Senior Lecturer/Associate Professor	1973 c.52	D(Con)	U	██████████
8.4	Grievances (COPIES)	Resolution	Dean of Learning and Teaching	1973 c.52	D	U	██████████
8.5	Complaints log for DLTE	For Stage 1 complaints from last action (3 years).	Learning and Teaching Enhancement Administrator (HEA)	Scottish Public Services Ombudsman	D(Con)	I	██████████
8.6	Job Descriptions – specification for positions held whilst in the department	T to end of CAY	Learning and Teaching Enhancement Administrator (Programmes)	BR	D	I	██████████
8.7	Leave – Contractual	N/A	Individual	1973 c.52	D	I	██████████

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	i.e. annual leave authorisation (ONLINE)		member of staff & Line Manager				
8.8	Leave – special and statutory leave arrangements (ONLINE)	N/A	PA to Dean of Learning and Teaching	1973 c.52	D(Con)	U	
8.9	Occupational Health – referral letters (and outcomes (ONLINE)	N/A – Held by HR	Dean of Learning and Teaching/ Senior Lecturer/Associate Professor	1973 c.52	D(Con)	I	
8.10	PDR preparation form, learning and development plan, personal action plan	CAY + 1 year	Line Manager	BR	D(Con)	I	

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	PDR tracker sheet						
8.11	Flexitime sheets	CAY + 1 year	Individual members of staff	BR	D(Con)	I	██████████
8.12	Termination of employment letter (ONLINE)	HR Responsible	Dean of Learning and Teaching/ Senior Lecturer/Associate Professor	1973 c.52	D(Con)	U	██████████
8.13	References (letters of reference) for Employment (COPIES)	CAY+1	PA to Dean of Learning and Teaching	1973 c.52	D(Con)	U	██████████
9. Health and Safety							
9.1	Health and safety risk assessments and safety reports	CAY	Health and Safety Co-ordinator	Key record is held by Health and Safety Department	D	I	██████████

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				in line with Health and Safety at Work Act 1974			
9.2	Overseas Travel Risk Assessments	CAY+1	PA to Dean of Learning and Teaching	BR	D	I	[REDACTED]
10. Teaching Fellows							
10.1	Finance (Grants)	CAY +6	Learning and Teaching Enhancement Administrator (Teaching Fellows)	1973 c.52 BR	R	V	[REDACTED]

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10.2	Other Spending	CAY + 6	Learning and Teaching Enhancement Administrator (Teaching Fellows)	1973 c.52 BR	R	V	[REDACTED]
10.3	Opt In	CAY+3	Learning and Teaching Enhancement Administrator (Teaching Fellows)	BR	R	V	[REDACTED]
10.4	Reports	CAY+3	Learning and Teaching Enhancement Administrator (Teaching Fellows)	BR	R	I	[REDACTED]
10.5	Steering Group Documentation	CAY+3	Learning and Teaching Enhancement Administrator (Teaching Fellows)	BR	R	V	[REDACTED]

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10.6	Grant Related Activities	CAY+6	Learning and Teaching Enhancement Administrator (Teaching Fellows)	1973 c.52 BR	R	I	[REDACTED]
10.7	Conference Related Activities	CAY+2	Learning and Teaching Enhancement Administrator (Teaching Fellows)	BR	R	I	[REDACTED]
11. Conference and Events							
11.1	Records in relation to current year's LTA Conference	CAY + 6 Years	Partnership Co-ordinator	BR	R	U	[REDACTED]
12. Learner Journey							
12.1	Documentation relating to the project	CAY + 6	Associate Professor	BR	R	U	[REDACTED]

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13. Academic Induction						
13.1	List of New Staff	End of CAY	Partnership Co-ordinator	BR	R	U [REDACTED]
13.2	Participant details	End of CAY	Partnership Co-ordinator	BR	R	U [REDACTED]
14. Inclusivity Week						
14.1	Participants Details	End of CAY	Learning and Teaching Enhancement Administrator (Teaching Fellows)	BR	D	U [REDACTED]
14.2	Schedule of Events	End of CAY	Learning and Teaching Enhancement Administrator (Teaching Fellows)	BR	D	U [REDACTED]

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14.3	Mailings	End of CAY	Learning and Teaching Enhancement Administrator (Teaching Fellows)	BR	D	U [REDACTED]
15. ARISE						
15.1	Conference Related Activities	CAY+1	Learning and Teaching Enhancement Administrator (Teaching Fellows)	BR	D	U [REDACTED]
16. DLTE Meetings						
16.1	Agenda, Papers and Minutes	CAY+3	PA to Dean of Learning and Teaching	BR	D	U [REDACTED]
17. Students as Colleagues						
17.1	Participant details	CAY+ 6	University Lead for Pedagogical Research	BR	R	U [REDACTED]

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18. The Big Read						
18.1	Research	CAY+ 6	Dean of Learning and Teaching	BR	R	U [REDACTED]
19. Peer Support for Teaching						
19.1	Meetings, Agenda and Papers	CAY + 6	Senior Lecturer	BR	R	U [REDACTED]
19.2	Participants list	CAY + 6	Senior Lecturer	BR	R	U [REDACTED]
20. School Liaison						
20.1	Data	Until superseded	Partnership Co-ordinator	BR	R	U [REDACTED]
21 Enhancement Themes						
21.1	Meetings, Agenda and Papers	CAY + 6	Associate Professor	BR	R	U [REDACTED]
21.2	Data and Research	CAY + 6	Associate Professor	BR	R	U [REDACTED]

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v) Approval

Signe  Date 8/12/17
(Head of Department)

Print Name PROF BRIAN WEBSTER-HENDERSON Job Title DEAN OF LEARNING & TEACHING

Signed Aim. RICHMOND  Date 4/1/18
(Governance Services)

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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