



RECORD RETENTION SCHEDULE

Information Services

Revision and Signoff Sheet

Change Record

Document Control Information	
Title (Full name of current version: title, version number, status)	Information Services Records Retention Schedule V1.0_FINAL
Date approved	30/05/2019 by Governance Services
Approved by	Governance Adviser (Records Manager) and Head of Customer Service and Business Change
Responsible manager/team	Head of Customer Service and Business Change
Review frequency	Annually
Next review date	April 2020
Scope	All Information Services staff

Document Review Table				
Date	Action by (initials)	Version updated (e.g. V1.3)	New version number (e.g. V1.4 or V2.0)	Brief description (e.g. updated Records Series 1-3, corrected typos, document updated to reflect team structure change)
17/05/19	AR	0.2	1.0	Combined separate team schedules developed by EF into master document
08/07/19	AR	1.0	1.1	Clarified retention period for library accounts, 9.1-9.4

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Table of Contents

i)	Records Retention Schedule – Purpose and Guidance.....	5
1.	What does the Records Retention Schedule Cover?.....	5
2.	Reviewing the Records Retention Schedule.....	6
ii)	What does the Records Retention Schedule contain?.....	6
1.	Arrangement and Description of Records.....	6
2.	Retention Period and Trigger Point.....	7
3.	Retained by.....	7
4.	Citation/Rationale.....	7
5.	Final Action.....	8
6.	Records Category, Storage Location & Format.....	8
7.	Records Destruction (including electronic records).....	9
8.	Records Retention Schedule Approval Process.....	10
iii)	Legislation affecting the management of Information Services Records.....	10
iv)	Retention Schedule.....	10
1.	Executive Support.....	11
2.	Data Centre & Operations.....	12
3.	Client Services.....	13
4.	Network Security & Services.....	13
5.	Application Systems Development.....	15
6.	Information Systems Group.....	17
7.	Corporate Information Systems.....	19
8.	Service Desk.....	21
9.	Information and Operations – Library Services.....	22
10.	AV and Learning Spaces.....	27
11.	Programme & Project Delivery.....	30

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12. Learning Technologists.....	34
13. Business Improvement and Consultancy	36
14. Learning and Research Services: Resource Acquisitions	38
15. Learning and Research Services: Information Services Advisers (ISAs).....	41
16. Student Information Systems	46
17. Policies and Procedures (Department-wide).....	48
v) Approval	49
vi) Records Disposal Form.....	50

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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:

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- Their core academic work;
- 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. *Update and review approval sign off protocols in agreement with Head of School/Department/Service and Records Manager (Governance Services).*

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.

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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	June 2019								
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 Information Services Records

Acts and Statutory Instruments

1973 c.52	Prescription and Limitation (Scotland) Act 1973
2010 c.15	Equality Act 2010
2016/679	General Data Protection Regulation
2018 c.12	Data Protection Act 2018

Other provisions

e.g.

Immigration Rules Specific guidance for keeping documents can be found on the Home Office UKBA website at:

<http://www.ukba.homeoffice.gov.uk/sitecontent/documents/employersandsponsors/pbsguidance/guidancefrom31mar09/appendix-d1.pdf?view=Binary>

iv) Retention Schedule

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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. Executive Support						
1.1	Records documenting Contract Information, working documents and drafts	CAY + 6	Executive Support Office	BR	D (Con)	V Electronic + paper
1.2	Records documenting Travel plans (FIN3), trip numbers and working documents	CFY + 1 year	Executive Support Office	BR	D (Con)	N E Electronic
1.3	Purchase Orders Agresso, PRFs, quotes and supplier details	CFY + 1 year	Executive Support Office	BR	D (Con)	N E Electronic Golden Copies held by Finance
1.4	Sales invoice requests	CFY + 1 year	Executive Support Office	BR	D (Con)	N E Electronic Golden Copies held by Finance
1.5	Purchase Card records – card statements and receipts	CFY + 1 year	Purchase card holders	BR	D (Con)	N E Electronic Golden Copies held by Finance
1.6	ISMT meeting agendas and minutes from weekly meetings	CAY + 6 years	Executive Support office	BR	D (Con)	N E Electronic

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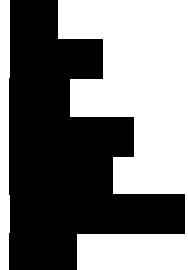
Record Series		Retention Period & Trigger	Retained by	Citation/ Rationale	Final action	Records category (Vital/Important/Useful/Non-essential) & storage location	
1.7	O2 mobile phones bills for Information Services	CFY + 1 year	Executive Support Office	BR	D (Con)	U	Electronic
1.8	Mobile device purchases	CFY + 1 year	Executive Support Office	BR	D (Con)	U	Electronic
2. Data Centre & Operations							
2.1	All technical & service documentation	Life of service + 3 years	DCO Manager & team	BR	D	V	S drive, Team site
2.2	Project management documents, emails etc	Completion of project + 3 years	DCO Manager & team	BR	D	I	S drive, Team sites, Project site
2.3	Incident and Service Request support calls that are logged and escalated to team members	Unidesk policy	Unidesk manager	BR	D	I	Unidesk, Emails, H & S drive, team site
2.4	Application and system code	Life of service + 20 years	DCO Manager & team	BR	D	V	W drive, H drive
2.5	Contract documentation & support details	Life of service + 1 year	DCO manager	BR	D	V	Folder in DCO, S drive, Team site

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							Golden copies held by Procurement
2.6	Monitoring logs for systems & services	This is different for different systems. Needed for trend analysis.	DCO Manager	BR	D	V	Log files are held within each system
3. Client Services							
3.1	PaperCut Service print, copy & scan job & transaction logs	365 days, weekly DB export	CS Manager	BR	D	I	PaperCut Server DB
3.2	Software Application Requests	Receipt of request + 10 years	CS Manager	R	D	U	CS Mailbox & CS SharePoint
3.3	Mobile Device Management device registration records	Device inactivity + 1 year	CS Manager	BR	D	I	MDM Server DB
4. Network Security & Services							
4.1	Records documenting Network Infrastructure & Services	Superseded + 3 years	Network & Security Services Manager	Business Requirements	R	V	S drive Prime Sharepoint sites Email

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							H Drive
4.2	Records documenting logs / configs, and back-ups	Each system has its own retention period. Back-ups +3 years	Network & Security Services Manager	Business Requirements	R	V	 Every network system
4.3	Records documenting contracts related to network, & negotiations and correspondence (golden copies)	End of contract + 7 Years	Network & Security Services Manager	Business Requirements P&L Act	R	V	Sharepoint sites S & H Drives Paper copies Email
4.4	Records documenting network support and end user documentation	Superseded +3 years / discontinued as service decommissioned	Network & Security Services Manager	Business Requirements	R	I	H Drive S drive SharePoint Email

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4.5	Records documenting correspondence for network support	7 Years from receipt of correspondence	Network & Security Services Manager	Business Requirements	R	U	Sharepoint sites S & H Drives Paper copies Email Voice messages
4.6	All records documenting Network Services & Security project management work that are not held by the PPD team / PMO SharePoint sites	Close of project + 7 years	Network & Security Services Manager	Business Requirements	R		H Drive S Drive Email
5. Application Systems Development							
5.1	All software configuration records	Life of product	ASD Team	BR	R	I	Sharepoint [REDACTED]
5.2	.NET source code	C	ASD Team	BR	R	V	TFS
5.3	PHP source code	C	ASD Team	BR	R	V	Git

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5.4	Documents relating to service lifecycle	C	ASG	BR	R	I	Sharepoint Confluence
5.5	Records documenting team meetings, working groups meetings and actions	C	ASD	BR	R	I	Sharepoint Confluence Email Paper
5.6	DR documentation	C	ASD	BR	R	V	Sharepoint
5.7	BCP documentation	C	ASD	BR	R	V	
5.8	Documents relating to change management	C	UniDesk	BR	R	I	Unidesk
5.9	Process documentation	C	ASG	BR	R	I	Sharepoint
5.10	Data protection impact assessments	C	ASG	BR	R	V	Sharepoint
5.11	Data sharing requests/agreements	C	ASG	BR	R	V	Sharepoint

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5.12	Documents relating to customer feedback	C	ASD	BR	R	I	
5.13	Usage statistics	C	ASD	BR	R	I	
5.14	Project documents, emails, procurement etc	Completion of project + 6 years	PMO	BR	R	I	PMO Sharepoint site
5.15	Application Systems Project documents, emails, procurement etc	Completion of project + 6 years	PMO	BR	R	I	PMO Sharepoint site
6. Information Systems Group							
6.1	MS SQL System logs	deleted as per system requirements	Application System Support Manager	BR	R	V	MS SQL Servers
6.2	SQL Compliance logins	Retained for 1 year	Application System Support Manager	BR	R	I	IS SPS

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6.3	Disaster Recovery Events log	Permanent	Application System Support Manager	BR	R	V	IS SPS
6.4	On Call Procedures	Retained indefinitely (until no longer applicable	Application System Support Manager	BR	R	I	IS SPS
6.5	Duty officer procedures	Retained. indefinitely (until no longer applicable)	Application System Support Manager	BR	R	V	IS SPP
6.6	Event Account Registrations	12 months	Application System Support Manager	BR	R	V	IS SPS
6.7	IS GDPR Compliance Records	Permanent	Application System Support Manager	BR	R	I	IS SPSS
6.8	Data sharing Agreements	Permanent		BR	R	I	IS SPSS

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6.9	Student Accounts	Retained	Application System Support Manager	BR	R	V	MS SQL Servers
7. Corporate Information Systems							
7.1	System User Guides, Manuals and Instructions	Annual review C+1	CS Team	BR	R	V	SharePoint
7.2	System Attribute Lists	Regular Review	CS Team	BR	R	V	SharePoint
7.3	System data extracts (e.g. Bank Recs, user lists, etc.)	C+1	CS Team	BR	R	V	H or S Drive
7.4	Dateload files	C+1	CS Team	BR	R	V	H or S Drive
7.5	Error Reports/Backup to Fault Reports	C+1	CS Team	BR	R	U	H or s Drive
7.6	Templates	Annual Review C+1	CS Team	BR	R	I	SharePoint
7.7	Notes/minutes from general meetings	3 years from meeting date	CS Team	BR	R	U	SharePoint

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7.8	Notes from Conferences and Workshops	3 years from event	CS Team	BR	R	U	SharePoint
7.9	PowerPoint presentations	3 years from event	CS Team	BR	R	U	SharePoint
7.10	All Corporate Information Systems Project records	Completion of project +6 years	CS Team	BR	R	I	CS SharePoint
7.11	System Strategy/Plan	C+2	CS Team	BR	R	I	SharePoint
7.12	System Mid-life Review Documents	C+6	CS Team	BR	R	I	SharePoint
7.13	Documentation of Processes transferred to client area	3 years from creation date	CS Team	BR	R	I	CS SharePoint
7.14	Signed Handover Completion documents	3 years from signature date	CS Team	BR	R	I	CS SharePoint Filed originals
7.15	Downloaded 3 rd party Information Documents	C+1	CS Team	BR	R	U	SharePoint
7.16	Supporting Documentation for Year End audits	C+2	CS Team	BR	R	I	S Drive

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7.17	System Audit Supporting Documentation	C+2	CS Team	BR	R	I	S Drive
7.18	Audit Reports	C+6	CS Team	BR	R	I	S Drive
7.19	User Access Requests	5 years after user leaves	CS Team	BR	D	V	Filed originals
7.20	Requests for change (attributes, workflow etc.)	C+1 years	CS Team	BR	R	V	Filed originals
7.21	Off-site Systems Requests	1 year after user leaves	CS Team	BR	D	V	Filed originals
7.22	PPA1/PRF	2 years after final period covered	CS Team	BR	R	V	SharePoint
7.23	PIA	C+6	CS Team	BR	R	V	SharePoint
7.24	Quotes	1 month after completion of delivery	CS Team	BR	R	I	S/H Drives Email SharePoint
8. Service Desk							
8.1	Records and documents relating to knowledgebase	Superseded + 2 years	Service Desk Manager	Business	R	I	Sharepoint S drive

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Record Series		Retention Period & Trigger	Retained by	Citation/ Rationale	Final action	Records category (Vital/Important/Useful/Non-essential) & storage location	
	articles detailing how to resolve issues, and procedures to be followed, and reports						SMT
8.2	Active tickets within Service Management Tool (SMT)	Ticket resolution +3years	Service Desk Manager	Business	R	V	SMT
8.3	Emails imported into the SMT	Import date +1week	Service Desk Manager	Business	D	V	SMT
8.4	Voice mails received	Until actioned	Service Desk Manager	Business	D	I	Cisco
9. Information and Operations – Library Services							
9.1	Student and Staff Library accounts – other than those with outstanding debt	T + 1 year (destruction takes place within one month of end of retention period)	I & O Manager	BR	D-Con	V	Alma
9.2	External Members' Library accounts – other than those with outstanding debt.	End of membership + 1 year (destruction takes place within one month of end of retention period)	I & O Manager	BR	D-Con	V	Alma

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Record Series		Retention Period & Trigger	Retained by	Citation/ Rationale	Final action	Records category (Vital/Important/Useful/Non-essential) & storage location	
9.3	Student and Staff Library account outstanding invoices/bills	T + 6 years (destruction takes place within one month of end of retention period)	I&O Manager	P and L Act	D-Con	V	Alma Aleph hard copy [REDACTED]
9.4	External Members' Library account outstanding invoices/bills	Last activity + 6 years (destruction takes place within one month of end of retention period)	I&O Manager	P and L Act	D-Con	V	Alma + hard-copy
9.5	External Memberships email / paper forms	CAY + 1	Team	BR	D-Con	I	Paper forms superseded by Unidesk form
9.6	External Memberships (SCONUL)	CAY + 1	SCONUL contact	BR	D-Con	I	Paper forms superseded by SCONUL online form
9.7	Disability & Inclusion forms	CAY + 1	I&O Manager	BR	D CON	V	Paper forms superseded by Unidesk form

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Record Series		Retention Period & Trigger	Retained by	Citation/ Rationale	Final action	Records category (Vital/Important/Useful/Non-essential) & storage location	
9.8	Postal / Placement applications	Current - until Alma record updated	I&O Manager	BR	D CON	I	Paper forms superseded by Unidesk form
9.9	Inter Library Loan (ILL) Request forms	Request date of ILL + 7 years	Resource Assistant	BR / ILL requirement	D-Con	V	Unidesk
9.10	Deceased student email / details	Current - until Alma record updated	Information Assistant	BR	D-CON	I	Alma
9.11	Alma Reports (Active Holds shelf)	1 Week	I&O Team	BR	D-Con	U	Paper (Alma printout)
9.12	Alma Reports (Pick from shelf, Expired Holds, Missing, Transit)	Superseded	I&O Team	BR	D-Con	U	Paper (Alma printout) dynamic, Alma analytic
9.13	Alma Reports (High Demand)	Current + 1 year	I&O Team	BR	D	U	S drive
9.14	Working documents relating to outstanding Library debt.	Superseded	I&O Manager	BR	D-Con	U	S drive Hard copy XXXXXXXXXX

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Record Series		Retention Period & Trigger	Retained by	Citation/ Rationale	Final action	Records category (Vital/Important/Useful/Non-essential) & storage location	
9.15	Documents and records relating to Library fine appeals, part payments & damaged items	Current +1year	I&O Manager	BR	D-CON	V	Unidesk Hardcopy – each campus
9.16	Documents and records relating to stolen library items	CAY + 6	I&O Manager	BR	D-CON	I	Emails, UD calls, S:
9.17	Requests for assistance with Library resources and action taken	Last action + 1 year	Unidesk manager	BR	D	U	Unidesk
9.18	Equipment loans (individual forms)	CAY + 1	AVLS Manager	BR	D	U	superseded by Unidesk form
9.19	Lost property records	Current +1	I&O Manager	BR	D	U	Hardcopy – each site
9.20	Support calls logged / escalated to team members	Unidesk policy	Unidesk manager	BR	D	I	UniDesk Emails S: drive Project sites Sharepoint sites Onelan

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9.21	Finance documentation relating to weekly cash and card banking.	C + 6 weeks	I&O Manager	BR	D-CON	I	Hardcopy and S:Drive – each site
9.22	CSE evidence documentation	End of certification cycle	IS CSE Manager	BR	R	U	S Drive/SP
9.23	Feedback / Comments - individual	CAY + 1	I&O Manager	BR	D CON	U	Hardcopy - Campus site S:Drive
9.24	Feedback / Comments - collated	CAY + 5	I&O Manager	BR	D CON	U	Hardcopy - Campus site S:Drive
9.25	Exit and other surveys (paper / spreadsheet)	Destroy individual surveys once data collated Collated data – CAY + 5 years	I&O Manager	BR	D	U	Hardcopy – Campus site S:Drive
9.26	Library Services project documents, emails, procurement etc	Completion of project + 6 years	I&O Manager	BR	R	I	S: Project sites

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Record Series		Retention Period & Trigger	Retained by	Citation/ Rationale	Final action	Records category (Vital/Important/Useful/Non-essential) & storage location	
9.27	Documents relating to development of Library / Campus Service Management Policies	Superseded	I&O Manager	BR	R	I	S:Drive Sharepoint
9.28	Staff Procedures	Superseded	I&O Manager / nominee	BR	D	V	Procedure Sharepoint
9.29	Records documenting IS Student and Staff materials	Creation of materials + 4 years	I&O Manager	BR	R	U	SPS S: email
9.30	Records documenting display materials (Flyers, Posters etc)	Superseded	Campus Teams	BR	R	U	Email Paper Sharepoint S:
9.31	Records documenting team meetings, working groups meetings and actions	Meeting date + 3 years	Campus Teams	BR	R	U	Email Paper Sharepoint S:
10. AV and Learning Spaces							

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10.1	Equipment loans (individual forms)	CAY + 1	AV&LS Manager	BR	D	I	Paper form, to be superseded by Unidesk form
10.2	Filming and Streaming service calls	12 months C+1	Service Desk Manager	BR	D	U	Unidesk Individual Team member email
10.3	Support calls logged / escalated to team members	Unidesk policy	Service Desk Manager	BR	D Con	V	UniDesk Emails Own H / S drive Project sites Sharepoint sites Onelan
10.4	Collaborative Device User lists	12 months	AV&LS Manager	BR	R	I	VSM Server
10.5	IS CSE evidence documentation	End of certification cycle	IS CSE Manager	BR	R	U	Paper?
10.6	Feedback / Comments - individual	CAY + 1	AV&LS Manager	BR	D CON	U	Campus sites S:Drive
10.7	Feedback / Comments - collated	CAY + 5	AV&LS Manager	BR	D CON	U	Campus sites S:Drive

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10.8	Exit and other surveys (paper / spreadsheet)	Once collated Spreadsheet 5 years Paper copied deleted once data collated	AV&LS Manager	BR	D	U	Campus sites S:Drive
10.9	Project documents, emails, procurement etc	Completion of project + 6 years	AV&LS Manager	BR	R	I	S: Project sites
10.10	Documents relating to development of AV&LS Service Management Policies	Superseded	AV&LS Manager	BR	D	U	
10.11	Staff Procedures	Current and archive	AV&LS Manager / nominee	BR	D	I	Sharepoint S:
10.12	Records documenting IS Student and Staff materials	creation of materials + 4 years	AV&LS Manager	BR	R	U	SPS S: email
10.13	Records documenting display materials (instructions, information etc)	Superseded	AV&LS team	BR	R	U	Email Paper Sharepoint S:

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Record Series		Retention Period & Trigger	Retained by	Citation/ Rationale	Final action	Records category (Vital/Important/Useful/Non-essential) & storage location	
10.14	Records documenting team meetings, working groups meetings and actions	Meeting date + 3 years	AV&LS Manager	BR	R	U	Email Paper Sharepoint S:
11. Programme & Project Delivery							
11.1	All project management records	Completion of project +6 years	PPD manager	BR	R	V	Sharepoint closed projects
11.2	Records documenting project proposals	Completion of project or date of rejection + 6 years	PPD manager	BR	R	I	PMO Sharepoint site
11.3	Records documenting Project Closure	Completion of project or date of rejection + 6 years	PPD manager	BR	R	I	PMO Sharepoint site
11.4	Records documenting Project templates, guidance, best practice	Completion of project or date of rejection + 6 years	PPD manager	BR	R	I	PMO Sharepoint site
11.5	Records documenting Project Management Reports	Completion of project or date of rejection + 6 years	PPD manager	BR	R	I	PMO Sharepoint site
11.6	Records documenting programme board	Completion of project or date of rejection + 6 years	PPD manager	BR	R	I	PMO Sharepoint site

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Record Series		Retention Period & Trigger	Retained by	Citation/ Rationale	Final action	Records category (Vital/Important/Useful/Non-essential) & storage location	
11.7	Records documenting Service requests	Date of request + 3 years	PPD team members	BR	R	I	Uni desk Email Work packages Notebooks
11.8	Records documenting meetings and actions	Date of request + 3 years	PPD team members	BR	R	I	Email Notebooks Sharepoint Documents
11.9	Records documenting IS CSE evidence	End of certification cycle + 4 years	IS CSE Manager	BR	R	U	IS CSE Sharepoint site
11.10	Records documenting University CSE evidence	End of certification cycle + 4 years	IS CSE Manager	BR	R	U	Uni CSE Sharepoint site
11.11	Records documenting CSE assessment process	End of certification cycle + 4 years	IS CSE Manager	BR	R	U	Uni CSE Sharepoint site
11.12	Records documenting CSE reports	End of certification cycle + 4 years	IS CSE Manager	BR	R	U	Uni CSE Sharepoint site

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Record Series		Retention Period & Trigger	Retained by	Citation/ Rationale	Final action	Records category (Vital/Important/Useful/Non-essential) & storage location	
11.13	Records documenting CSE networking activities (internal / external)	End of certification cycle + 4 years	IS CSE Manager	BR	R	U	Uni CSE Sharepoint site Email
11.14	Escalated incidents and Service requests allocated to team members	Unidesk policy	Unidesk manager	BR	D	V	UniDesk Emails Own H / S drive Project sites Sharepoint sites Onelan
11.15	Records documenting governance of IS online content, digital signage, social media	creation of governance document + 4 years	PPD Manager / IT Digital Officer	BR	R	I	PPD SPS
11.16	Records documenting IS online content (myNapier, intranet, askNapier, user guides, small videos, images)	Point at which content added + 4 years	IT Digital Officer	BR and for reference	R	I	PPD SPS myNapier Intranet askNapier Unidesk

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Record Series		Retention Period & Trigger	Retained by	Citation/Rationale	Final action	Records category (Vital/Important/Useful/Non-essential) & storage location	
11.17	Records documenting IS printed materials (Fast Facts, Flyers, Banners, Posters)	creation of materials + 4 years	IT Digital Officer	BR and for reference	R	I	PPD SPS IS Digi Comms SPS
11.8	Records documenting IS Student and Staff Induction materials	creation of materials + 4 years	IT Digital Officer	Business requirement	R	I	PPD SPS Moodle Intranet myNapier
11.9	Records documenting IS Social Media presence	creation of document + 4 years	ISMT / PPD Manager / IT Digital Officer	BR	R	I	PPD SPS Intranet myNapier
11.10	Records document IS ad hoc communication and communications plans (out with projects)	creation of communication + 3 years	IT Digital Officer IS Service Desk	BR	R	U	IS SPS PPD SPS Intranet myNapier
11.11	Records documenting digital signage and video wall content	creation of content + 3 years	IT Digital Officer	BR	R	I	IS Digi Comms SPS PPD SPS OneLAN

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Record Series		Retention Period & Trigger	Retained by	Citation/ Rationale	Final action	Records category (Vital/Important/Useful/Non-essential) & storage location	
11.12	Records documenting Information Services statistics	sourcing of statistic + 10 years	ISMT/ PPD Manager / IT Digital Officer	BR	R	U	IS SPS IS Digi Comms SPS PPD SPS
11.13	Records documenting IS Events	event + 4 years	ISMT/ PPD Manager / IT Digital Officer	BR	R	U	IS SPS PPD SPS IS Digi Comms SPS
11.14	Records documenting IS Award applications	award application + 4 years	ISMT / PPD Manager / IT Digital Officer	BR	R	U	PPD SPS
11.15	Records documenting Freedom of Information requests coming in to IS	C + 4 years	ISMT / PPD Manager / IT Digital Officer	BR	R	I	IS Governance SPS
11.16	Records documenting and recording results of IS student (and staff) surveys	C + 4 years	ISMT / PPD Manager / IT Digital Officer	BR	R	I	IS SPS PPD SPS IS Digi Comms SPS
12. Learning Technologists							

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Record Series		Retention Period & Trigger	Retained by	Citation/ Rationale	Final action	Records category (Vital/Important/Useful/Non-essential) & storage location	
12.1	Records documenting training materials for new and existing services. Including working and finalised materials.	Superseded + 1 year	LTS Manager	BR	R	V	Moodle courses Sharepoint S Drive H Drive LT Hub
12.2	Records documenting staff registrations and bookings	LibCal retention periods apply Completion of Course	LTS Manager	BR	D	V	LibCal Moodle Courses Email
12.3	Records documenting correspondence, admin, feedback	Completion of Course + 1 year	LTS Manager	BR	R	I	LibCal Moodle Courses Email
12.4	Records documenting promotional materials. Including working and finalised materials.	Superseded + 1 year	LTS Manager	BR	R	I	Sharepoint S Drive
12.5	Records documenting promotional materials. Including working and finalised materials.	Superseded + 1 year	LTS Manager	BR	R	I	Sharepoint S Drive

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Record Series		Retention Period & Trigger	Retained by	Citation/ Rationale	Final action	Records category (Vital/Important/Useful/Non-essential) & storage location	
12.6	Course backup taken for restoring into other Moodle courses. Process involves backup files downloaded to local folder on computer then uploaded to Moodle.	Completion of task + 1 year	LTS Manager	BR	D	V	H: drive Local computer folder
12.7	When supporting academics with general Turnitin submissions and in plagiarism investigations. Student coursework documents received by email or downloaded from Turnitin to local computer for comparison or upload to another Turnitin assignment.	Completion of task + 1 year	LTS Manager	BR	D	V	H: drive Local computer folder
12.8	When supporting academics with developing learning materials or resolving issues, copies are kept on the local computer during the development period.	Completion of task + 1 year	LTS Manager	BR	D	V	H: drive Local computer folder
13. Business Improvement and Consultancy							

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Record Series		Retention Period & Trigger	Retained by	Citation/Rationale	Final action	Records category (Vital/Important/Useful/Non-essential) & storage location	
13.1	Correspondence	1 year following close of engagement	Business Improvement Consultant	BR	R	I	Outlook
13.2	Meeting Records	CAY + 3	Business Improvement Consultant	BR	R	I	Outlook S:Drive
13.3	Logistical Records	CAY + 6	Business Improvement Consultant	BR	R	I	Sharepoint
13.4	Data files	CAY + 10	Business Improvement Consultant	BR	R	I	Sharepoint
13.5	Activity outputs owned by client	Per internal clients schedule	Internal client	BR	R	I	Per internal client's schedule
13.6	Copy of key outputs	Cay + 10	Business Improvement Consultant	BR	R	V	SharePoint (work funnel)
13.7	Training Attendance, monitoring, and feedback	Retained by HR	HR Learning and Development	BR	As per HR	I	HR Connect

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13.8	Training materials	1 year following close of training course	Business Improvement Consultant	BR	R	I	Sharepoint
13.9	Work funnel containing metadata on the work undertaken by the BI team, key notes and documentation	5 years after close of BI Team	Business Improvement Consultant	BR	R	I	Sharepoint
14. Learning and Research Services: Resource Acquisitions							
14.1	Records documenting the purchase of materials, goods and resources.	3 years from date of purchase.	Acquisitions & Metadata manager	BR	R	I	Paper files Email outlook folder
14.2	Records documenting supplier statistics	C + 10	Acquisitions & Metadata manager	BR	R	I	SDA
14.3	Invoices	C + 6	Acquisitions & Metadata manager	BR	R	I	Paper copies
14.4	Signed licences	Until superseded	Acquisitions & Metadata manager	BR	R	V	Alma Paper copies

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14.5	Records documenting licences	Until superseded	Acquisitions & Metadata manager	BR	R	V	Alma Paper copies SDA
14.6	Records documenting Inter Library Loan (ILL) requests	End of current year plus 6 years	Acquisitions and metadata manager	BR	DCon	I	Alma Paper copies
14.7	Records documenting ILL requests from other libraries	CAY + 1	Acquisitions & Metadata manager	BR	D	I	Outlook
14.8	Records documenting ILL correspondence with internals and externals	CAY + 1	Acquisitions & Metadata manager	BR	D	U	Email unidesk
14.9	Records documenting requests for digitisation	CAY + 2	Acquisitions & Metadata manager	BR	D	U	Alma Paper Email
14.10	Digitised content	Annual Rollover on digital content store	Acquisitions & Metadata manager	BR	D	V	CLA H drive W drive
14.11	Records documenting links to the digital content store	CAY + 6	Acquisitions & Metadata manager	BR	D	I	W drive

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14.12	Records documenting notification of digitised content	CAY + 2	Acquisitions & Metadata manager	BR	D	I	Outlook
14.13	Records and documents outlining the processes, procedures, user guides, and policies to allow an individual to carry out the functions of the team	Until superseded	Acquisitions & Metadata manager	BR	R	I	SDA
14.14	Invoices	CAY + 6	Acquisitions & Metadata manager	BR	D	I	Paper copies
14.15	Records documenting reports, lists, stats	CAY + 10	Acquisitions & Metadata manager	BR	R	I	H drives
14.16	Records documenting electronic access	Until superseded	Acquisitions & Metadata manager	BR	D	I	Alma

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14.17	E-Resource correspondence	CAY + 2	Acquisitions & Metadata manager	BR	D	I	Outlook
14.18	E-Resource statistics	CAY + 10	Acquisitions & Metadata manager	BR	D	I	SDA, Alma
14.19	Records documenting FOI requests	CAY + 4	Acquisitions & Metadata manager	BR	D	U	Email S Drive
15. Learning and Research Services: Information Services Advisers (ISAs)							
15.1	User Education: Records documenting teaching materials, help sheets, PowerPoint presentations, videos	Superseded + 5 years	Head of LARS	BR	R	I	H drives Lib Guides Online video server S Drive Moodle Staff Intranet Paper copies – office FIG share / slide share

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15.2	User Education correspondence	Current year + 1 year	Head of LARS	BR	R	U	Email Unidesk
15.3	User Education Promotional materials/Communications	Superseded + 1 year	Head of LARS	BR	R	U	Mynapier S drive H drive Lib Cal Twitter Digital Signage Email Paper copies – office Online Video server
15.4	Collections Management budgets	Current + 5 Years	Head of LARS	BR	R	I	Alma S Drive H Drive
15.5	Collections Management Policies	Superseded + 1 year	Head of LARS	BR	R	I	Lib Guides H Drive S Drive Paper copies – library Staff Intranet

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Record Series		Retention Period & Trigger	Retained by	Citation/ Rationale	Final action	Records category (Vital/Important/Useful/Non-essential) & storage location	
15.6	Stock reports	End of use + 5 years	Head of LARS	BR	R	I	Alma S Drive H Drive Emails Paper copies – office
15.7	Collections Management Correspondence	End of use + 5 years	Head of LARS	BR	R	I	unidesk Emails Paper copies – office
15.8	Reading lists	Lifetime of module	Head of LARS	BR	R	V	Unidesk Leganto Alma Emails Paper copies
15.9	EZproxy config.txt backups	Current + 2 years	Head of LARS	BR	D	V	H Drive Sharepoint Library Systems
15.10	EZproxy (other)	Superseded	Head of LARS	BR	D	I	H Drive Sharepoint Library Systems

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15.11	PingFederate/Other authentication	Superseded	Head of LARS	BR	D	I	H Drive Sharepoint Library Systems
15.12	Research Literature reviews	Current + 5 Years	Head of LARS	BR	R	I	H: Drive Unidesk Worktribe
15.13	Eresource troubleshooting	Current + 2 years	Head of LARS	BR	D	U	H Drive Unidesk
15.14	Publishing support documentation	Superseded	Head of LARS	BR	D	I	H Drive Sharepoint ISAs
15.15	Induction survey	Current + 5 years	Head of LARS	BR	R	U	H Drive Sharepoint Novi Survey
15.16	SCONUL stats collection documentation	Current + 5 Years	Head of LARS	BR	R	U	H: drive S: drive Emails SCONUL website DT/ MJ Paper drafts (office)

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15.17	E-journal stats	Current + 5 Years	Head of LARS	BR	R	U	S:drive
15.18	Alma stats	Until superseded by re-run report	Head of LARS	BR	C	U	Within Alma analytics
15.19	Records documenting the receipt and evaluation of requests for access to/use of special collection items	Last action + 2 years	Head of LARS	BR	R	U	Visitor books ECC & War Poets Collection, Consultation slips (Service desk) Emails
15.20	Records documenting the authorised use of special collections and actions taken to facilitate, monitor or control use	P (life of collection)	Head of LARS	BR	A	U	Visitor books ECC & War Poets Collection, Consultation slips (Service desk) Emails
15.21	Records documenting the receipt of items not currently part of the University's special collections	P (life of collection)	Head of LARS	BR	A	I	Paper in ECC filing cabinet Paper documents in office, S: drive H: drive Emails

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Record Series		Retention Period & Trigger	Retained by	Citation/ Rationale	Final action	Records category (Vital/Important/Useful/Non-essential) & storage location	
15.22	Records documenting the history of the special collection and storage conditions / conservation	P (life of collection)	Head of LARS	BR	A	I	Paper in ECC filing cabinet, Paper documents in office, S: drive H: drive Sharepoint Web pages
15.23	Product user documentation	Superseded	Head of LARS	BR	D	U	H Drive Sharepoint Library Systems site
15.24	Product release/roadmap documentation	Current + 1 year	Head of LARS	BR	D	U	H Drive Sharepoint Library Systems site
16. Student Information Systems							
16.1	Timetabling: Record documenting daily back-up files	End of current academic year plus 1 year	Head of Student Systems	BR / Disaster recovery	D	I	SharePoint Site
16.2	Record documenting timetables from previous academic years	End of current academic year plus 1 year	Head of Student Systems	BR / Disaster recovery	D	I	SharePoint site S drive C Drive

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Record Series		Retention Period & Trigger	Retained by	Citation/ Rationale	Final action	Records category (Vital/Important/Useful/Non-essential) & storage location	
16.3	Records documenting user guides,	Superseded	Head of Student Systems	BR	R	U	SharePoint site S drive
16.4	Records documenting Processes, policy & procedures	Superseded	Head of Student Systems	BR	R	U	SharePoint site S drive
16.5	Records documenting the handling of applications for admission: unsuccessful applications	CAY + 1	Head of Student Systems/Head of Admissions	BR	R	I	SITS
16.6	Facts of registration and academic performance (dates of study, progression, programme of study, marks, final award etc)	Permanent	Head of Student Systems/Academic Registrar	1973 c.52 2016/679 2018 c.12	A	V	SITS
16.7	All other information relating to a student record (that is not dates of attendance and award information). This will include but is not limited to addresses, personal & sensitive details, disability details, transfer,	End of 'registered student' relationship with University + 6 years	Head of Student Systems/Academic Registrar	1973 c.52 2016/679 2018 c.12	D-Con	I	SITS

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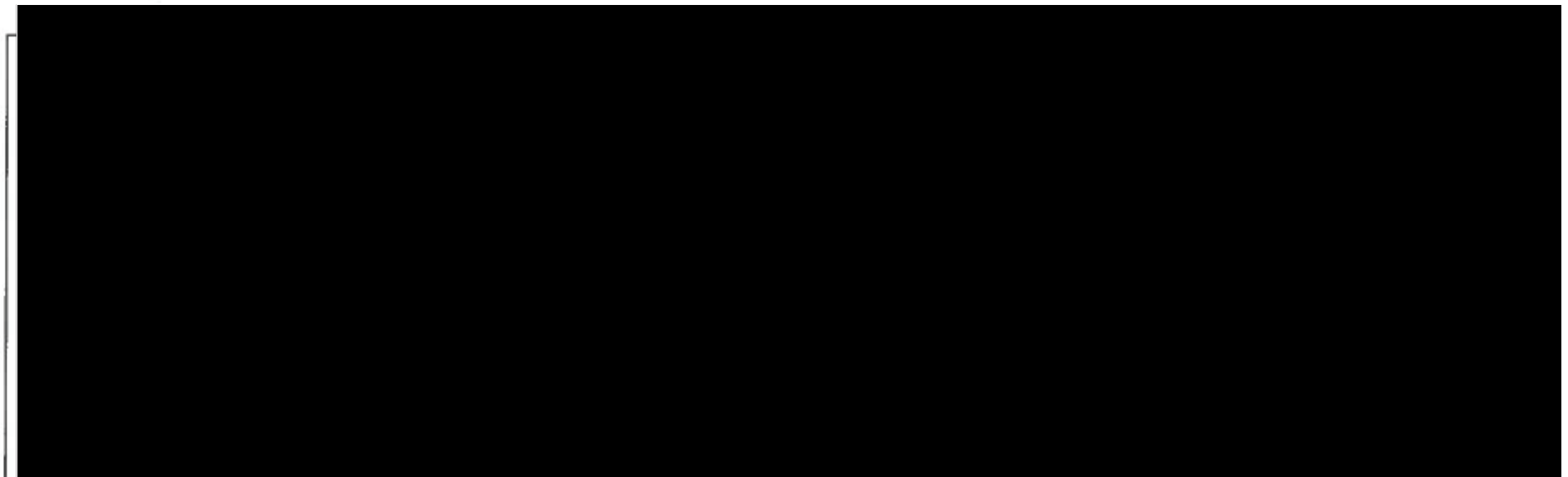
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Record Series		Retention Period & Trigger	Retained by	Citation/ Rationale	Final action	Records category (Vital/Important/Useful/Non-essential) & storage location	
	withdrawal, application record, graduation, exam timetables.						
16.8	Records documenting the organisation of examination facilities, including special arrangements for students with a disability, including specific learning disabilities	Current academic year plus 3 years	Head of Student Systems	BR	D	I	SITS
16.9	Records documenting the organisation of award ceremonies	Completion of ceremony plus 1 year	Head of Student Systems	BR	D	I	SITS
16.10	Module & course information not linked to a student record (i.e descriptors, delivery information)	Permanent	Head of Student Systems	BR	A	I	SITS
16.11	HESA Student Return	Current academic year plus 20 years	Head of Student Systems	BR	R		SITS
17. Policies and Procedures (Department-wide)							
17.1	IT Service Management Policies	Superseded	ISMT	BR	R	I	Departmental Information Sharepoint site:

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							ces/dept info/SitePages/Home.aspx
17.2	IS Change Management Policies and Procedures	Superseded	ISMT	BR	R	I	Sharepoint

v) Approval



amended without first consulting Governance Services.

vi) Records Disposal Form



RECORDS DISPOSAL FORM

This form must be completed before disposal of University records.

If you require assistance please contact the Governance Adviser (Records Management) Governance Services, 0131 455 6359.

Please use block capitals when filling in this form

School/Service Area _____ **Contact Name** _____ **Extension** _____

Records Series Number e.g. 4.1	Department Reference/Name/Description	Format e.g. Electronic/ Microfiche/Physical	Start/ Creation date	End/ Trigger date	Reason for Destruction e.g. as per RRS (CAY + 5 years) If different to or not on RRS contact the Records Manager	Method of Disposal e.g. shredding, confidential waste

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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: DataProtection@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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