RECORDS RETENTION SCHEDULE

FACULTY OF ENGINEERING, COMPUTING and CREATIVE INDUSTRIES

Version 1.7: 2015

Revision and Signoff Sheet

Change Record

Date	Author	Version	Change reference
23/01/12	V Heathwood	1.0	Initial draft for review/discussion
02/02/12	V Heathwood	1.1	Feedback and input from JT/Governance Services
18/06/12	V Heathwood	1.2	Incorporating in session change to 3.7 to ensure SEBE professional body accreditation requirements met.
11/7/12	V Heathwood	1.3	Incorporating in session change to 10.1 to ensure reflects requirements to retain hard copy of Academic Board Substructure committee papers.
19/10/12	S Simeone	1.4	Incorporating in session change to 10.1 to ensure reflects requirements to retain hard copy of Faculty Executive Substructure committee papers.
15/08/13	S Simeone	1.5	Incorporating the following new records: Annual Faculty signed off KIS reports to 2.4. Reports start with the data for session 2012/13. Tier four checking information: PHAROS Report files and associated correspondence to 8.6 and Post Programme Board of Examiners Tier four records to 8.7
26/5/14	F Chevalier	1.6	Tidied up committee structure and details, inc Sharepoint link to FRDMG.
19/2/2015	S Simeone	1.7	Removing records 8.6 PHAROS Report files and associated correspondence and 8.7 Post Programme Board of Examiners Tier four records. Retention of this record type is no longer required. Tier4 Checks are now managed by the Points Based Immigration and International Support Team (SAS)
10/05/2019	A.Richmond	1.8	Changed retention period for SEBE sample coursework from CAY +2 to CAY + 5

Reviewers

Name	Version approved	Position	Date
V Heathwood	1.0	Faculty Operations Manager	05/03/2012
J Timlin	1.0	Governance Officer (Records Manager)	08/03/2012

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S Cairncross	1.2	Dean of Faculty	20/06/12
S Cairncross	1.3	Dean of Faculty	11/7/12
J Timlin	1.4	Governance Officer (Records Manager)	30/08/12
S Cairncross	1.4	Dean of Faculty	19/10/12
S Cairncross	1.5	Dean of Faculty	14/10/12

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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.

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

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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.

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

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.

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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

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.

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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)

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.

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.)

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Legislation affecting the management of the Faculty of Engineering, Computing and Creative Industries records

Acts and Statutory Instruments

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

Other provisions

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Table of Contents

Records Series		Retention	Retained by	'Citation/Retention rationale'	Final action	Records category & storage location
1.	**Module and programme approval**					
1.1	Completed business case	CAY +5 years	Faculty Quality Adviser		D-Con	Hard copy: signed document therefore paper record stored in C98
1.2	Business plan (collaborative programmes)	CAY +5 years	Faculty Quality Adviser		D-Con	Hard copy: signed document therefore paper record stored in C98 but not all
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		D-Con	Hard copy: signed documents therefore paper record stored in C98. An electronic approval system will be adopted later this session.
2.	**Programme and module information**					
2.1	Student Handbooks	CAY +5 years	School Assistant Faculty operations Manager		D-Con	Stored on the intranet at S:\schcomp\socoffice\Programme Handbooks SEBE: Electronic copy (School shared drive)

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2.2	Current Programmed specification	CAY +5 years	School Assistant Faculty Operations Manager Faculty Quality Adviser		D-Con	Hard copy: only signed post validation spec retained in room ███. Electronic versions kept on s-drive either Archive or Current.
2.3	Current module descriptor	CAY +5 years	School Assistant Faculty operations Manager		D-Con	Hard copy in filing cabinet in ███. Electronic versions kept on s-drive either Archive or Current 'S' drive electronically (SACI) SEBE: electronic copy (School shared drive) and e-vision.
2.4	Annual Faculty signed off KIS.	CAY +4 years	Faculty Quality Adviser	The SFC/QEGPC mention a four year review cycle. The Principal signs off the institutional return, process coordinated centrally by university administrator.	D-Con	Reports start with the data for session 2012/13. Hard copy: records stored in room ███, filing cabinet. Electronic Copy: tbc
2.5	Module boxes	CAY +1 year	School Assistant Faculty operations Manager		D-Con	In SOC, we need to keep these for CAY +7 years as they contain assessment information, CAY is in C34, previous year in C24 and +6 years is in off-site storage.

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						Not applicable (SACI)

Not applicable (SEBE) |
| 2.6 | Module packs | CAY +5 years | School Assistant Faculty operations Manager | | | SACI: ▮▮▮ School office

SEBE: For postgraduate BSV & CTR modules only, electronic copy (School shared drive). |
| 2.7 | Details of planned learning and teaching activities (includes teaching materials/ packs) | CAY+2 years | School Assistant Faculty operations Manager | | D-Con | ▮▮▮ School office (SACI)

For postgraduate BSV & CTR modules only, electronic copy (School shared drive). (SEBE) |
| 2.8 | Assessment procedures and information | CAY +2 years | School Assistant Faculty operations Manager | | D-Con | In hard copy in the module boxes. Archived annually onto disk.

▮▮▮ School office (SACI)

Electronic copy (School shared drive). (SEBE) |
| 2.9 | Timetabling information | CAY +1 year | School Assistant Faculty operations Manager | | D-Con | Stored electronically in outlook, We now have a shared mailbox Folder on s-drive.

▮▮▮ School office (SACI) |

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						Electronic copy (School shared drive). (SEBE)
2.10	Agendas and papers of Programmed Management Meetings including faculty flexible programmers (SSLC, Programmed Board of Studies, Approvals Board)	CAY +5 years	School Assistant Faculty Operations Manager		D-Con	Stored on the s drive at ███████████████ ████████████ Hard copies in ████ School office. Also kept electronically on School 'S' drive (SACI). Electronic copy (School shared drive). Hard copy Board papers for 3 sessions held in ████ Further 7 sessions held in a floor archive. (SEBE)
2.11	Approval of programmer titles for faculty flexible programmers	CAY +5 years	Faculty Quality Adviser		D-Con	Hard copy: stored in room ███
2.12	FE articulation arrangements and agreements (COPY)	End of period of agreement +6 years	Faculty Quality Adviser		D-Con	Hard copy: up to the academic year 2011/12 records stored in room ████ filing cabinet. Electronic copy: from the academic year 2012/13 these records are held on a SharePoint site maintained by Student & Academic Services/

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2.13	Signed Collaboration Agreements (COPY)	End of period of agreement +1 year	Faculty Quality Adviser		D-Con	Hard copy: stored in room █████ filing cabinet
2.14	Signed memorandum of understanding (ORIGINAL)	End of period of agreement +6 years	Faculty Quality Adviser		D-Con	Hard copy: stored in room █████ filing cabinet
2.15	Feedback on taught modules from staff and examiners: individual feedback	CAY +5 years	School Assistant Faculty operations Manager SGL (SACI)		D-Con	Retained with module assessments ████ offices (SACI) Held by individual academic staff In (SEBE)
2.16	Identification and analysis of market needs and development of new programmes	CAY +4 years	Head of Business and Administration		D-Con	
3.	**LTA and moderation process**					
3.1	Graduate Attribute Statements	1 year after agreement of next set of attributes.	School Assistant Faculty Operations Manager		D-Con	On s-drive and incorporated into our programme specifications

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3.2	Level 2 LTA Statements	1 year after agreement of next set of statements	School Assistant Faculty Operations Manager		D-Con	'S' drive electronically (SACI)
3.3	Student retention plans	CAY +4 years	School Assistant Faculty Operations Manager		D-Con	On-going 'S' drive electronically (SACI)
3.4	School culture documents	1 year after agreement of next culture document.	School Assistant Faculty Operations Manager		D-Con	On s-drive
3.5	Final versions of assessment instruments	Minimum 5 years.	School Assistant Faculty Operations Manager		D-Con	Hard copy stored in the module boxes for CAY +7 years. Electronic versions archived onto disk. Electronic copy (School shared drive). Hard copy CAY +1 held in ▮▮▮ (SEBE)
3.6	Assessment brief	CAY +5 years	School Assistant Faculty Operations Manager		D-Con	Hard copy stored in the module boxes for CAY +7 years. Electronic versions archived onto disk. 'S' drive electronically (SACI)

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	Records Series	Retention	Retained by	'Citation/Retention rationale'	Final action	Records category & storage location
						For those submitted, electronic copy (School shared drive). (SEBE)
3.7	Samples of students' assessed work (including evidence and outcomes of internal and external moderation)	CAY + 5 years in SACI CAY + 5 years in SEBE CAY +7 years for SoC to account for accreditation potentially spanning longer than 5 years.	School Assistant Faculty Operations Manager		D-Con	In SACI and SoC it is a square root sample across the range of marks/grades after one year. In SEBE work is not sampled. The sample should be representative of the whole assessments, top, middle and bottom. If the numbers are small eg 20 then it is recommended all assessment are retained.
	4. External Examiners					
4.1	External examiner report (COPY)	CAY +5 years	Faculty Quality Adviser		D-Con	Copy of original retained by Academic Quality in accordance with their retention schedule. Electronic copy only: Faculty Quality SharePoint Site: to identify location

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4.2	Response to External Examiner annual report	CAY +5 years	Faculty Quality Adviser		D-Con	Hard Copy: room ▮▮▮ filing cabinet
4.3	Approval of response to External Examiner annual report	CAY +5 years	Faculty Quality Adviser		D-Con	Hard Copy: stored in room C102 - filing cabinet
4.4	External Examiner files of: • 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		D-Con	The original of anything referenced as a copy is retained by Academic Quality according to their retention schedule. Hard Copy: stored in room ▮▮▮ - filing cabinet. External Examiner correspondence is held electronically on shared drive. (SEBE)
4.5	External Examiner – change to duties that brings a fee change (COPY)	End of contract +1 year	Faculty Quality Adviser		D-Con	Copy of original retained by Academic Quality in accordance with their retention schedule. Hard Copy only: stored in room ▮▮▮ - filing cabinet

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						The electronic copy of form detailing change of duties is held on shared drive (SEBE)
4.6	External Examiner – change to duties that brings no fee change	End of contract +1 year	Faculty Quality Adviser		D-Con	Hard Copy only: stored in room ███ - filing cabinet The electronic copy of form detailing change of duties is held on shared drive. (In SEBE)
5. Routine Monitoring						
5.1	Module Reports	CAY +4 years	School Assistant Faculty Operations Manager		D-Con	Hard copy stored in the module boxes and electronic copy stored on the s drive at ███████ Electronic copy (School shared drive) and school SharePoint.(SEBE)
5.2	Module Questionnaires	CAY +4 years	School Assistant Faculty Operations Manager		D-Con	Hard copy stored in the module boxes. 'S' drive electronically only (SACI)

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						Electronic copy (School shared drive) and school SharePoint. (SEBE)
5.3	Subject Leader Reports	CAY +4 years	School Assistant Faculty Operations Manager		D-Con	Stored on the s drive at ██████████████████ ██████████████████ ██████████████████ ██████████████████ Electronic copy (School shared drive) (SEBE)
5.4	Programme Evaluation Reports	CAY +4 years	School Assistant Faculty Operations Manager		D-Con	Stored on the s drive at ██████████████████ ██████████████████ ██████████████████ (SoC) Electronic copy (School shared drive) (SEBE)
5.5	Approved Head of School Report	CAY +4 years	School Assistant Faculty Operations Manager		D-Con	Electronic records: Stored on the s drive at ██████████ ██████████████████ ██████████████████ ██████████████████ Stored by the faculty Office (SEBE)

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5.6	Faculty Report	CAY +4 years	Faculty Quality Adviser		D-Con	Electronic Records: Faculty Quality Sharepoint Site
5.7	Performance Indicator Data	CAY +4 years	Faculty Quality Adviser		D-Con	Faculty Quality Sharepoint Site ███████████ ███████████ ███████████
5.8	Subject Review Evaluative Report and supporting documentation	CAY +4 years	School Assistant Faculty Operations Manager		D-Con	Electronic Records.
	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.	School Assistant Faculty Operations Manager		D-Con	Electronic Records only On s-drive and in AFOM (SOC) files/archived 'S' drive electronically & HoS keeps hard copies (SACI) Electronic copy (School shared drive) (SEBE)

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6.2	Report of visit and professional body accreditation outcomes and reports	Minimum 5 years	School Assistant Faculty Operations Manager		D-Con	Electronic Records only On s-drive and in AFOM (SOC) files/archived Quality Adviser also holds these records in hard copy and will be stored in a Quality SharePoint Site in the near: **storage duplication to check**
6.3	Response to professional body report	Minimum 5 years	School Assistant Faculty Operations Manager Faculty Quality Adviser		D-Con	On s-drive and in AFOM (SOC) files/archived Quality Adviser also holds these in hard copy and will be stored in a Quality SharePoint Site in the near: **storage duplication to check**
6.4	Records of obtaining approval and/or accreditation for taught programmes from professional, statutory or other accreditation bodies	Minimum 5 years	Faculty Quality Adviser		D-Con	Hard Copy: stored in room C102 – filing cabinet
7. Teaching Quality and Standards						
7.1	University subject review reports (COPY)	Until end of each review cycle +5 years.	School Assistant Faculty		D-Con	Copy from original held in Academic Quality who Clerk the Subject Review.

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			Operations Manager			Stored on s-drive ad archived
7.2	Approved exemptions to regulations (COPY)	CAY +1 year	Faculty Quality Adviser		D-Con	Copy from original held in Academic Quality who Clerk the Regulations Committee that approves exemptions. Hard Copies: stored in room ▮ filing cabinet
7.3	Enhancement-led institutional review documentation. (COPY)	Until next review is complete.	Faculty Quality Adviser		D-Con	Copy from original held in Academic Quality/ Office of Vice-Principal who oversee ELIR).
8. Student Records						
8.1	Appeals and Complaints Records	End of final action on case +6 years	School Assistant Faculty Operations Manager	1973 c.52	D-Con	Academic Conduct Officer (ACO) keeps definitive record; this may change with appointment of new ACO.
8.2	Records relating to a breach of Academic Conduct Regulations	End of final action on case +6 years	School Assistant Faculty Operations Manager		D-Con	Hard copy of CAY +1 stored in ▮ and on s-drive with restricted access. Older records are in off-site storage (Faculty Office) As 8.1 (SEBE)

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						'S' drive electronically (SACI)
8.3	Placement information	CAY +5 years	School Assistant Faculty Operations Manager		D-Con	On s-drive and in individual student placement records. Marks recorded as per any module. 'S' drive electronically (SACI) 'S' drive: school office/Employability (SoC) 'S' drive: school office/ Employability (SEBE)
8.4	Student Research Information	Graduation +6 years	School Assistant Faculty Operations Manager		D-Con	We send Student and Academic Services a copy of anything approved within the Schools of FECCI. We retain the golden copy of such documents. Student and Academic Services only retain golden copy of documents that are approved at University level.
8.5	Tier four monitoring reports and associated correspondence	CAY +6 years	School Assistant Faculty Operations Manager		D-con	AFOM (SOC) records. 'S' drive electronically (SACI) Electronic copy (School shared drive) (SEBE)

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8.6	Post Programme Board of Examiners Tier four records	CAY+4	School Assistant Faculty Operations Manager holding FECCI tier 4 remit (F Sutherland)		D-con	Electronic copies stored in: S-FECCI-Tier four in the related meeting month folder.
8.7	Academic Support Advisor student visit records	CAY +5 years	Faculty Academic Support Advice (ASA)		D- con	Kept for analysis (with Data Protection agreement of student). Records stored both in hard copy in ▮▮▮ and electronically: ▮▮▮ x: data held within the year folders specifically in the workbooks: 'Academic Support Spreadsheet 2011-12' and 'Academic Support Spreadsheet 2012-13'
8.8	Extenuating Circumstances Board agendas, minutes and papers	CAY +6 years	Clerk to Faculty EXCS Board (who will be an Assistant Faculty Manager)		D- con	Electronic copy (S Drive, password protected)

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8.9	Extenuating Circumstances claims	CAY +6 years	Clerk to Faculty EXCS Board (who will be an Assistant Faculty Manager)		D- con	Hard copy: CAY+ 1 kept in ▮▮▮▮ in locked cabinet. Previous 3 years kept in Faculty storage: to confirm location 5 and 6 year old claims kept in off-site storage)
9. Board of Examiners						
9.1	Minutes of Board of Examiner meetings	CAY +10 years	School Assistant Faculty Operations Manager		D-Con	SoC has electronic boards. There is no requirement for paper to be generated for the record as along as the electronic notes are securely stored and approval noted, however a minute is stored in the Programmed Box/year. SACI – hard copies in ▮▮▮▮ and also kept electronically
9.2	Master set of annotated Module and Programmed Board of Examiner sheets	CAY +10 years	School Assistant Faculty		D-Con	SoC has electronic boards but a master annotated set is kept within the Programme Box/year. Paper copies are only required to

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			Operations Manager			be retained for CAY + 3 years, as long as the electronic records are securely stored for CAY + 10 years. (electronic records pre 2011/2 are incomplete and therefore paper copies will be retained for CAY + 10 years)' SACI – hard copies in ███████
9.3	Letters re: prizes	CAY +10 years	School Assistant Faculty Operations Manager		D-Con	n/a – students notified by S&AS at Graduation etc. (SoC) Hard copies in ██████ and also kept electronically (SACI) Electronic copy (School shared drive) (SEBE)
10. Committees						
10.1	Agenda, papers and minute of a) Academic Board Substructure committees: • Faculty Academic Board; • Faculty Research Integrity Committee;	CAY +10 years	Faculty Quality Advisor Academic Board Sub-		D-Con	Faculty Board papers and minutes held on FEG SharePoint site (only stored electronically). Academic Board sub-committees: Both hard copy and electronic storage are required for (as per their

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• Faculty Research Knowledge and Exchange Committee; • Faculty Academic Strategy and Enhancement Committee b) Principal's Executive Group sub-structure: • Faculty Executive Group (FEG)		committees and FEG records are all retained by Clerk of the Committee who will be a Faculty Administrator.			annual remit papers issued by University Governance) Electronic copies stored in SharePoint site: FEG: h███████████████████ ███████████████ ██████ FRIC: ████████████████████ ████████████████████ f ormerly FAERG) FRKE: ████████████████████ ████████████████ (F RKE was formerly FRKT, on Sharepoint in ████████████████████ ██████████████

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					FASEC: h███████████ ████████████ Retain current year hard copy for reference purposes FASEC - folder for 12-13 & FRIC FRKE FASEC FEG folders for 11-12/12-13 in room ███ Merchiston Other years hardcopies either stored locally or in offsite storage FRIC FRKE FASEC FEG room ███
10.2	Faculty Research Degrees Management group	CAY +1 year	Admin support to the Committee who will be a Faculty Administrator.	D-Con	Informal grouping for which notes of action kept. Electronic copy stored in Faculty S drive and Sharepoint from 2012/13: ██████████████
10.3	International Development Advisory Group (IDAG) agenda, papers and minutes.	CAY +5 years	Clerk of the Committee who will be a Faculty Administrator	D-Con	Electronic copy stored on SharePoint site.

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			or Assistant Faculty Operations Manager.			
11. Human Resources						
11.1	Flexitime sheets	Current quarter plus the previous quarter	Line manager		D-Con	In line with the HR policy the records kept are electronic and the signed paper copy. Electronic copies stored on S/ fecci/faculty office/ Faculty admin management team/flexi sheets The signed paper copies are kept in a locked pedestal in ▮▮▮, or in AFOM office records. For electronic records the flexi sheets are in a single work book for 12 months. This means that we keep beyond the recommended retention time of the schedule. Electronic copy (School shared drive). (SEBE)

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11.2	Termination of employment letter (COPY)	T	Head of Business and Administration Head of School		D-Con	HR is the key record holder of this information where it arises from: voluntary resignation, redundancy, retirement or dismissal.
11.3	References (letters of reference)	CAY +1 year	Line manager		D-Con	Stored electronically only on H drive. Given the nature of this record full file path should not be given. The H drive is organised so that any senior manager (having followed C&IT procedures) could access the line-managers any time critical material (of those they are accountable for)
11.4	Departmental Structures	1 year after agreement of next structure.	Head of Business and Administration Head of School			
11.5	Absence – medical certificates and self-certificate forms (COPIES)	CAY +1 year	Head of Department's office – PA to Associate		D-Con	All PAYE e.g. statutory Sick Pay records, calculations, certificates, self-certificate. Statutory Sick Pay (General) regulations 1982

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		Director; also Heads, where applicable/ Administrative and Technical Line managers			(SI1982/894), Updated by SI 2005 no.989. Original documentation is retained by HR according to their retention schedule. Line managers must forward the original documentation to HR.
11.6 Absence – Monthly returns to Payroll, return to work forms (COPIES)	CAY +1 year	Head of Department's office – PA to Associate Director; also Heads, where applicable - Faculty Technical Manager		D-Con	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	Head of Department's office – PA to Associate Director; also Heads, where applicable - Faculty Technical Manager		D-Con	Original documentation is retained by HR according to their retention schedule. Line managers must forward the original documentation to HR.

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11.8	Health and Safety - Accident and incident reports	CAY	School Office hold accident book		D-Con	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 Department		D-Con	Retention period begins on date of completion of the dispute process. HR is the key record holder of this information and will retain it for closure of case plus 6 years. These documents must be stored securely due to DPA considerations.
11.10	Job Descriptions – specification for positions held whilst in the department	T	Line Manager		D-Con	
11.11	Leave – special and statutory leave arrangements (COPIES)	CAY +1 year	Line Manager		D-Con	Current leave year runs from September to August. Authorisation and administration of statutory leave entitlements e.g. parental leave and special leave e.g. compassionate leave, study leave see: http://staff.napier.ac.uk/Services/HR/Policies+and+Procedures/Leave.htm Copies are not retained. Given the originals are forwarded to HR FOM preference would be that FECCI stops keeping local copies too. ACTION: SS to discuss views of

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						others and initiate change to policy if required.
11.12	Occupational Health – referral letters and outcomes (COPY)	CAY +10 years	Line Manager		D-Con	Unit referrals by self or Line Manager. Retention period begins after last treatment. Original documentation is retained by HR according to their retention schedule. Line managers must forward the original documentation to HR. Stored electronically only on H drive. Notes as 11.3 (FOM)
11.13	PDR learning and development plan, personal action plan	CAY +1 year	Line Manager and member of staff		D-Con	Electronic (H drive) + Hard signed copy in own office. FOM - Some stored electronically. Paper copies kept in a locked pedestal in C█
11.14	PDR tracker sheet	CAY +1 year	Head of Business and Administration Head of School			Electronic Record only: The admin information that informs the total PDR tracker is saved to S/fecci/ faculty admin management team/ PDR
12. Finance (the copies listed are kept to aid checking payment/ delivery queries that arise)						

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12.1	Departmental budget accounts (COPIES)	CAY	Head of Business and Administration Head of School		D-Con	Covers routine income from University teaching and research funding. Also specific reports on a specific account and may include salary forecasts.
12.2	Internal Orders (room bookings, catering, paper requests, CandIT software orders/standard PCs) (COPIES)	CAY	School Assistant Faculty Operations Manager		D-Con	Departmental records documenting the issue of sales invoices e.g. for hospitality services or printing unit products. Finance will retain their records for 6 years after year of creation.
12.3	Purchase card records – card statements and receipts (invoice/receipts and not just VAT receipts) (COPIES).	CAY	Purchase cardholders		D-Con	Examples: bank statements, receipts, order information/delivery notes. Finance Office will retain the Purchasing card transaction log for CFY+6 years.
12.4	Purchase orders (COPIES) and delivery notes (ORIGINALS).	CAY	School or Faculty		D-Con	The main record is held on Agresso system which is then retained for CFY+6 years.
12.5	Expenses claim forms (FIN3, FIN4, FIN5, FIN6) and receipts (invoice/receipts and not just VAT receipts) (COPIES).	CAY	School and Faculty		D-Con	Records documenting the payment and/or reimbursement. Finance will retain their records for CFY+6 years.

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13. Software						
13.1	Software licenses	Until issue of new license	Faculty Technical Manager		D-Con	Generally held electronically, (FTM "H" drive and email) although some as hard copy in ▮▮▮ and with IT technical staff
13.2	Software audit records	CAY +1 year	Faculty Technical Manager		D-Con	
14. Faculty Operations						
14.1	Statutory tests (including lifting equipment etc.)	CAY +5 years	Faculty Technical Manager		D-Con	Generally held electronically, (FTM "H" drive) although some as hard copy in ▮▮▮
14.2	Faculty Operations plan	CAY +1 year	Head of Business and Administration		D-Con	
14.3	School Operations plan	CAY +1 year	Head of School		D-Con	
14.4	Ad hoc projects	CAY +3 years	Project manager		D-Con	
14.5	International reports from colleagues working overseas	CAY +3 years	Clerk to IDAG Committee		D-Con	Electronic only: Committee SharePoint site

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Signed   _____ *(Head of Department)*   Date   _____

Print name   _____ Job title   _____

Signed   _____ *(Governance and Management Services)*   Date   _____

This signed off schedule authorises Faculty of Engineering, Computing and Creative Industries 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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RECORDS DISPOSAL FORM

This form must be completed before disposal of University records.
If you require assistance please contact the Governance Officer (Records Manager), Governance Services, 0141 455 6257.

Please use block capitals when filling in this form

Faculty/School/Department_____ **Contact Name**_____ **Extension**_____

Records Series Number e.g. FECCI 4.1	Department Reference/Name/Description	Format e.g. Electronic/ Microfiche	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 Officer (Records Manager), 7.B.16 Sighthill Campus, email: foi@napier.ac.uk, Fax: 0131 455 6269

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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