



**GOVERNANCE AND MANAGEMENT SERVICES**

**RECORDS RETENTION SCHEDULE**

**FACULTY OF HEALTH LIFE & SOCIAL SCIENCES**

Version 2.0 (28 June 2010)

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Records Series		Retention	Retained by	Citation	Final action	Notes
<b>1. Teaching Quality and Standards</b>						
1.1	University subject review reports.	Until end of each review cycle +5 years. Current cycle finishes in			D	Electronic copy only
1.2	Records documenting the development and establishment of the University's teaching strategy.	While current +5 years and related committee papers indicating, approval, review and replacement			A	Electronic copies only
1.3	Quality assurance and enhancement procedures and related committee papers indicating approval, review and replacement.	Superseded +5 years			D	Electronic copy only
<b>2. Performance Management and Quality Assurance</b>						
2.1	Academic regulations and related committee papers	Superseded + 10 years			D	Electronic copy only

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Records Series		Retention	Retained by	Citation	Final action	Notes
	indicating, approval, review and replacement					
<b>3. External/Professional Body Accreditation</b>						
3.1	Records of obtaining approval and/or accreditation for taught programmes from professional, statutory or other accreditation bodies	Minimum 5 years			R	Faculty responsibility (includes Academic Practice within Academic Development)  Electronic Copies only
3.2	Programme accreditation submission documents	+5 years or to next submission point whichever is longer;			D	Faculty responsibility (includes Academic Practice within Academic Development)  electronic copies only
3.3	Professional body accreditation outcomes and reports	Minimum 5 years			R	Faculty responsibility (includes Academic Practice within Academic Development)
3.4	Record to indicate account has been taken of the module and programme approval procedure.	Minimum 5 years			R	Faculty responsibility (includes Academic Practice within Academic Development)
3.5	Record to indicate account has been taken of the module and programme routine monitoring procedure.	Minimum 5 years			R	Faculty responsibility (includes Academic Practice within Academic Development)
3.6	Feedback on taught modules	Minimum 5			R	

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	from staff and examiners: individual feedback	years				
3.7	Identification and analysis of market needs and development of new programmes	5 years			R	Faculty responsibility (includes Academic Practice within Academic Development)
3.8	Final versions of assessment instruments	Minimum 5 years.			R	Faculty responsibility (includes Academic Practice within Academic Development)
3.9	Pre-Board moderation process	Minimum 5 years		P&L (Scotland) Act	D	Faculty responsibility (includes Academic Practice within Academic Development)
3.10	Enhancement-led institutional review documentation.	Until next review is complete.			D	Electronic copy only
<b>4. Programme Portfolio</b>						
4.1	Post-approval documents (inc minutes, documents, agendas, other papers)	5 years			R	Faculty responsibility (includes Academic Practice within Academic Development)
4.2	Student Handbooks	5 years			R	Faculty responsibility (includes Academic Practice within Academic Development)
4.3	Approved Annual Report	C +4 years			D	Faculty responsibility (includes Academic Practice within Academic Development)
4.4	Agendas and papers of Programme Management Meetings (SSLC, Programme Board of Studies, Approvals	CAY+4 years.			R	Faculty responsibility (includes Academic Practice within Academic Development)

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	Board)					
4.5	Minutes of Programme Board of Examiners	P			D	Faculty responsibility (includes Academic Practice within Academic Development)
4.6	Programme Spreadsheets/ Exam Board papers	C +4 years			D	Faculty responsibility (includes Academic Practice within Academic Development)
4.7	Pre- and post Programme Board of Examiners action lists & information	C +5 years			D	Faculty responsibility (includes Academic Practice within Academic Development)
4.8	Collaboration Agreements	End of period of agreement + 6 years		P&L Scotland Act	R	Signed paper copy only
4.9	Approvals Board agendas, minutes and papers (FHLSS only)	Current academic year +3 years			D	Electronic copy only
<b>5. Modules</b>						
5.1	Module descriptors	5 years			R	Faculty responsibility (includes Academic Practice within Academic Development)
5.2	Details of planned learning and teaching activities	CAY+2			D	Faculty responsibility (includes Academic Practice within Academic Development)
5.3	Assessment procedures and information	CAY+2			D	Faculty responsibility (includes Academic Practice within Academic Development)
5.4	Module Spreadsheets – check with schools	2 or 3 years			D	Faculty responsibility (includes Academic Practice within Academic Development)

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						Development)
5.5	Pre- and post- Board of Examiners action lists & information, including Module Board of Examiners	2 years.			R	Faculty responsibility (includes Academic Practice within Academic Development)
5.7	Samples of students' assessed work (including evidence and outcomes of internal and external moderation)	All current yr + sample of past 2 yrs			D	Square root sample across the range of marks/grades
5.8	Small sample of Masters and Honours Dissertations	Minimum of three from each cohort or a 10 percent sample whichever is smaller retained for +3 years from publication			D	Range
5.9	External Examiner Reports	CAY+ 5 years			D	
5.10	Approved Annual Monitoring Module Report	5 years			D	Faculty responsibility (includes Academic Practice within Academic Development)
5.11	Module Board of Examiners agendas and papers	5 years			D	Electronic copy only
5.12	Mitigating Circumstances Board agendas, minutes and papers	5 years.			D	Electronic copy only

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<b>6. Students</b>						
6.1	Appeals and Complaints Records	End of final action on case + 6 years		P&L Scotland Act	D	Faculty responsibility (includes Academic Practice within Academic Development)
<b>7. External Examiners</b>						
7.1	External Examiner reports and departmental responses	CAY +5 years.			D	
7.2	External Examiner files These files include <ul style="list-style-type: none"> <li>• correspondence with External Examiners</li> <li>• guidance issued to Ext Ex</li> <li>• Records documenting the selection and appointment of external examiners and contracts</li> </ul>	End of contract + 1 year			D	
7.3	External Examiner – change to duties	End of contract + 1 year				
7.4	External Examiner details, Committee and panel members' personal	End of contract + 1 year			D	

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	information including addresses					
<b>8. Finance Records</b>						
8.1	Departmental budget accounts (COPIES)	Cfy+1	Head of Department		D(Con)	Covers routine income from University teaching and research funding. Also specific reports on a specific account and may include salary forecasts.
8.2	Internal Orders (room bookings, catering, paper requests, C&IT software orders) (COPIES)	Cfy+1	Administrator		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.
8.3	Purchase card records – card statements and receipts (COPIES)	Cfy+1	Purchase cardholders		D(Con)	Examples: bank statements, receipts, order information/delivery notes. Finance Office will retain the Purchasing card transaction log for cfy+6
8.4	Purchase orders (PECOS) (COPIES) and delivery notes (ORIGINALS)	Cfy+1	Head of Department's office – PA to Director and PA to Associate Director		D(Con)	The main record is held on Agresso system which is then retained for cfy+6.
8.5	Petty cash (COPIES)	Cfy+1	Head of Department's office – PA to Associate Director		D(Con)	
8.6	Expenses claim forms (FIN3,	Cfy+1	Head of Department's		D(Con)	Records documenting the payment

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	FIN4, FIN5, FIN6) (COPIES)		office – PA to Director and PA to Associate Director			and/or reimbursement. Finance will retain their records for Cfy+6
8.7	Quotes from printers	Cfy+1	Communications team – Publications Officers		D	Electronic or hard copies
8.8	ISBN numbers	P	Communications team – Publications Officers		P	Hard copy
8.9	Project Records (externally funded)  <b>Current Projects:</b>  <u>Professional Development</u> <ul style="list-style-type: none"> <li>○ ELRAH CPD (Fiona Campbell)</li> <li>○ Message of Support (Julia Fotheringham)</li> </ul> <u>Academic Practice</u> <ul style="list-style-type: none"> <li>○ nil</li> </ul>	Varies according to funders' requirements	Project Manager or Project Administrator		D	Where records are held for projects, retention rules and regulations may vary according to the funders' requirements (these records can therefore also include other records and not just Finance).
8.10	Unsuccessful project bids	1 year after receipt of rejection letter	Project Manager or Project Administrator		D	
8.11	Project bids that were not submitted	No	N/A		N/A	

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<b>9. Human Resources</b>					
9.1 <b>Absence</b> – medical certificates and self certificate forms (COPIES)	Cty+3	Head of Department's office – PA to Associate Director; also Heads, where applicable		D(Con)	All PAYE e.g. statutory Sick Pay records, calculations, certificates, self-certificate. Statutory Sick Pay (General) regulations 1982 (SI1982/894), Updated by SI 2005 no.989.  ORIGINALS IN HR
9.2 <b>Absence</b> – Monthly returns to Payroll, return to work forms (COPIES)	Cfy+1	Head of Department's office – PA to Associate Director; also Heads, where applicable		D(Con)	ORIGINALS IN HR
9.4 <b>Absence</b> – Maternity leave forms (COPIES)	Cfy+1	Head of Department's office – PA to Associate Director; also Heads, where applicable		D(Con)	Finance Office? / or HR?? retains the master copy for Cfy+3
9.5 <b>Health and Safety</b> - Accident and incident reports	C	TBC; also heads, where applicable		D(Con)	Key record is held by Health and Safety Department in line with Health and Safety at Work Act 1974.
9.7 Health and Safety – Pandemic flu Planning	Until superseded	Head of Department		D	
9.8 <b>Grievances</b> (COPIES)	C+2	Head of Department		D	Retention period begins on date of completion of the dispute process.

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						HR are the key record holders of this information and will retain it for closure of case plus 6 years.  These documents must be stored securely due to DPA considerations.
9.10	<b>Job Descriptions</b> – specification for positions held whilst in the department	T	Line Manager		D	
9.12	<b>Leave</b> – Contractual i.e. annual leave authorisation	CAY+1	Individual member of staff – Line Manager		D	
9.13	<b>Leave</b> – special and statutory leave arrangements (COPIES)	C+1	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: <a href="http://staff.napier.ac.uk/Services/HR/Policies+and+Procedures/Leave.htm">http://staff.napier.ac.uk/Services/HR/Policies+and+Procedures/Leave.htm</a>
9.14	<b>Occupational Health</b> – referral letters (ORIGINAL) and outcomes (COPY)	C+10	Line Manager		D(Con)	Unit referrals by self or Line Manager. Retention period begins after last treatment.  Outcome letter originated by HR
9.15	PDR preparation form,	C+2	Line Manager		D(Con)	Typically this is the last result of

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	learning and development plan, personal action plan PDR tracker sheet		Head of Department			routine assessments of an employee's performance and any consequent action taken.
9.16	Flexitime sheets	Current quarter plus the previous quarter	Line Manager and individual members of staff		D(Con)	Electronic copies only
9.17	Termination of employment letter (COPY)	T	Head of Department		D(Con)	By voluntary resignation, redundancy, retirement or dismissal. HR are the key record holders of this information.
9.18	References (letters of reference)	C+1	Individual & line manager		D(Con)	
<b>10. Committees</b>						
10.1	Academic Practice Module Board of Examiners agendas, minutes and papers	Current academic year +3 years	Academic Practice team		D(Con)	Electronic copy only
10.2	Academic Practice Mitigating Circumstances Board agendas, minutes and papers	Current academic year +3 years.	Academic Practice team		D(Con)	Electronic copy only
10.3	University Co-curricular Modules Committee agendas, minutes and papers	Current academic year +10 years	Quality Enhancement team		D(Con)	Electronic copy only
10.4	University Collaborative Partnerships Committee	Current academic year	Quality Enhancement team		D(Con)	Electronic copy only

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	agendas, minutes and papers	+10 years				
10.5	University Regulations Committee agendas, minutes and papers	Current academic year +10 years	Quality Enhancement team		D(Con)	Electronic copy only
10.6	AIS Steering Group agendas, minutes and papers		Clerk		D(Con)	
<b>11. Events</b>						
11.1	Statistics of participation and events run	C+1	Professional Development team – Administrator		D	
<b>12. Software</b>						
12.1	Software licences	Until issue of new licence	Communications team – Publications Officers		D	Hard copies
12.2	Software audit records	C+1	Communications Team		D	Electronic copies
<b>13. ELRAH</b>						
13.1	SFC Directives	End of project + 1 year	ELRAH Core Team		D(Con)	Paper/Electronic copies
13.2	Forward Plans	End of project + 1 year	ELRAH Core Team		D(Con)	Electronic copies

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13.3	Annual Reports	End of project + 1 year	ELRAH Core Team		D(Con)	Electronic Copies
13.4	Management/Steering Group Minutes and Papers	End of project + 1 year	ELRAH Core Team		D(Con)	Electronic Copies
13.5	Project Proposals/Interim Reports/ Final Reports	End of project + 1 year	ELRAH Core Team		D(Con)	Electronic Copies
13.6	Funding correspondence with partners	End of project + 1 year	ELRAH Core Team		D(Con)	Electronic/ Paper copies
13.7	ELRAH Promotional Literature and Resources	End of project + 1 year	ELRAH Core Team		D(Con)	Electronic and Paper copies
13.8	Commissioned Reports and Studies	End of project + 1 year	ELRAH Core Team		D(Con)	Electronic and Paper copies
13.9	Financial – Budgets, Budget reports	End of project + 1 year	ELRAH Core Team		D(Con)	Electronic Copies
13.10	Inter-hub minutes/papers	End of project + 1 year	ELRAH Core Team		D(Con)	Electronic Copies

Signed \_\_\_\_\_ (*Head of Department*) Date \_\_\_\_\_

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Print name \_\_\_\_\_ Job title \_\_\_\_\_

Signed \_\_\_\_\_ (*Governance and Management Services*) Date \_\_\_\_\_

This signed off schedule authorises Academic Development 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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