RECORD RETENTION SCHEDULE

STUDENT & ACADEMIC SERVICES

V3.1 20171031

Revision and Signoff Sheet

Change Record

Date	Author	Version	Change reference
20130114	J. Timlin	1.0	Initial draft for review/discussion
20131127	D-LWatt	1.1	Revision sheet, guidance notes, sign-off sheet and destruction form included
20150922	A.Bankhead	2.3	Updates following CL, DW & AB meeting 15/09/2015
20150923	D-LWatt	2.4	Updates as above
20151006	A.Bankhead	2.5	Review/update after Heads meeting 23/09/2015
20151009	D-LWatt	2.6	Review and update
20151105	D-L Watt	3.0	Final updates, schedule ready for approval
20171031	A Richmond	3.1	Details of previous retention period added to 6.1

Reviewers

Name	Version approved	Position	Date
Diana Watt	3.0	Senior Governance Officer (Records Manager)	20151105
Cathy Lambert	3.0	Director of Student and Academic Services	20151112

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Table of Contents

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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.

1. **What does the Records Retention Schedule Cover?**

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

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

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It covers key groups of records generated by the common business functions and business activities of Universities. The retention periods in this document have been approved after consultation with key stakeholders following guidance from sources such as the JISC Records Retention Schedule, which is based on extensive research and consultation with a wide range of Universities. However, it is not intended to be either prescriptive or exhaustive.

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 annually.

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:

Admissions
Records from this process include: Admissions Policies, applicant records including supporting documents, case files relating to admissions and admissions appeals and complaints.

or

College Partnerships
Records from this process include: Articulation agreements, memoranda of agreements, ILA funding statements and learning tokens.

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.

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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.

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 long-term special arrangements will be made to transfer it off-site to a storage facility.

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Many of the records the University staff members create and manage will contain personal information. It is important to ensure that these records are disposed of correctly and in line with guidance issued by the University's Data Protection Officer. Records which contain personal or sensitive personal information should be disposed of by using the shredding consoles which available in all University premises.

6. Records Category, Storage Location & Format

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

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

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

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

7. Records Destruction (including electronic records)

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.

8. Records Retention Schedule Approval Process

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Biennial review (alternate years) to be approved by Director of Service and Governance Services and minor updates aggregated for annual review and approval by Governance Services.

III) Legislation affecting the management of Student & Academic Services 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

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

1298/2008/EC   European Commission Decision. Specific guidance for record keeping is available on the British Council website at: http://www.britishcouncil.org/erasmus-operational-handbook-2013-14-version-3

BACP 2013   British Association for Counselling and Psychotherapy. Specific guidance available on the BACP website at: http://www.bacp.co.uk/admin/structure/files/pdf/11147_professional%20conduct%20procedure.pdf

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9

IV) Retention Schedule

Record Series (When quoting series number append with SAASv2.4 e.g. 1.1SAASv2.4)		Retention Period & Trigger	Retained by	Citation/ Rationale	Final action	Records category (Vital/Important/Useful/ Non-essential) & storage location
1. Strategic Management (including strategies, policies, procedures, development and planning)						
1.1	Records documenting the development and establishment of the department's strategies and plans for student administration and support	Superseded + 10 .	Director of Student & Academic Services	BR – kept for audit purposes	Review for archival value	Electronic -
1.2	Records documenting performance indicators for a student administration and support service	CAY + 1	Director's Office	BR	D-Con	
1.3	Records containing data on, and analyses of, performance against the plans for the implementation of the department's strategies and plans for student	CAY + 1	Director of Student & Academic Services	BR	Review for archival value	Electronic -

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	administration and support service						
1.4	Records documenting the conduct and results of audits and reviews of the student administration and support function, and responses to the results	CAY + 10 .	Director of Student & Academic Services	Audit requirements	Review for archival value		Electronic -
1.5	Records documenting the development and establishment of the department's student administration and support policies and procedures	Superseded + 10 .	Director of Student & Academic Services	BR – planning purposes	Review for archival value		Electronic -
1.6	Records documenting the development and establishment of detailed team priorities	Superseded + 10	Director of Student & Academic Services	BR- detailed planning purposes	Review for archival value		Electronic -
1.7	Employee Engagement action plan	CAY + 10	Director of Student & Academic Services	BR – to monitor trends in employee engagement	Review for archival value		Electronic -

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1.8	Stress audit plan	CAY + 10	Director of Student & Academic Services	BR – to monitor trends in employee stress	Review for archival value		Electronic -
1.9	Materials promoting a student administration and support service	Whilst current. Review for archival value	Individual teams	BR	Destroy		Paper and electronic
1.10	Student Charter	Superseded	Director of Student & Academic Sercvices	BR	N/A		Electronic - MyNapier
1.11	Results of user/customer surveys: individual responses	CAY + 1		1998 c.29	D-Con		
1.12	Anonymised results of user/customer surveys	CAY = 5		BR	D		
1.13	Results of student surveys: summaries and analyses of responses	End of student relationship with University + 6		1973 c.52	D-Con		
1.14	Contracts with companies	CAY + 6	Individual teams	1973 c.52	D-Con		

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1.15	S&AS health and safety guidance and management systems	S + 6	Health & Safety Co-ordinator	BR 1973 c.52	D		Electronic -
2. College Partnerships							
2.1	Records documenting College Partnerships Articulation agreements	T + 6	Partnerships & Collaboration Administrator	BR	D-Con		
2.2	College Partnerships Memoranda of Agreement with Colleges	T + 6	Partnerships & Collaboration Administrator	1973 c.52	D-Con		
2.3	ILA funding Payment statement	CAY + 6	Partnerships & Collaboration Administrator	1973 c.52 Financial regs Audit	D-Con		
2.4	ILA learning tokens (for past classes)	CAY + 6	Partnerships & Collaboration Administrator	1973 c.52	D-Con		
3. Student Recuitment							
3.1	Records (i.e. database or spreadsheet) of enquirers	CAY + 1	UKSR team in CRM	BR – for electronic recruitment/co	Review for archival value or		Electronic -

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				nversion activity	historical reports		
3.2	Enquiries from enquirers and copy letter/email responses	CAY + 1	UKSR Team in CRM	BR – for electronic recruitment/co nversion activity	Review for archival value or historical reports		Electronic -
3.3	Records containing summaries and analyses concerning enquirers, recruitment and numbers converted into applicants	CAY + 5	UKSR Team in CRM	BR – for electronic recruitment/co nversion activity	Review for archival value or historical reports		Electronic -
3.4	Records documenting the organisation of school applicant and open days	Completion of event + 1	UKSR Team	BR – kept for development purposes	Review for archival value or historical reports		Electronic -
3.5	Lists of anticipated open day attendees	Completion of event + 1	UKSR Team	1998 c.29 BR – kept for development purposes	Review for archival value or historical reports		Electronic -

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3.6	Lists of open day attendees	Completion of event + 1	UKSR Team	1998 c.29 BR – kept for development purposes	Review for archival value or historical reports		Electronic -
3.7	Records documenting the design, organisation and summary results of University wide student recruitment events	Completion of event + 5 .	UKSR Team & Marketing	BR – kept for review/develop ment purposes	Review for archival value		Electronic -
3.8	Records documenting contact details of schools and organisations to which student recruitment materials is sent	Completion of event + 5	UKSR Team & Marketing	BR – kept for review/develop ment purposes	Review for archival value		Electronic -
3.9	Records documenting the issue of student recruitment materials in bulk to schools and other organisations	CAY + 5 OR termination of scheme + 5	UKSR Team/CRM	BR – kept for review/develop ment purposes	Review for archival value		Electronic -
3.10	Records documenting the issue of student recruitment materials in bulk to schools and other organisations	CAY + 1	UKSR Tea/CRM	BR- kept for review/stock control purposes	Review for archival value		Electronic -

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4. Admissions							
4.1	University Admissions Policies	Superseded + 6	Head of Admissions	1973 c.52 BR	D	Electronic originals –	
4.2	Applicant record on SITS - successful applicants	This will form part of the student record dealt with under Student Records 6.1 and 6.2	Admissions (in SITS)		D-Con	Electronic -	
4.3	Applicant record on SITS - *unsuccessful* applicants	CAY + 1	Admissions (in SITS)	Equality Act 1998 c.29	D-Con	Electronic -	
4.4	Supporting documents for direct applications including exam certificates, references, curriculum vitaes, portfolios - successful applicants (see 6.2)	T + 6	Admissions (in SITS)	1973 c.52	D-Con	Electronic -	
4.5	Supporting documents for direct applications including exam certificates, references,	CAY + 1	Admissions (in SITS)	BR Equality Act	D-Con	Electronic -	

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	curriculum vitaes, portfolios - unsuccessful applicants						
4.6	SITS records email metadata	T + 6	Admissions (in SITS)		D-Con	Electronic -	
4.7	Copy letters of invitation to interview – Nursing only	T + 6	Admissions (in SITS)		D-Con	Electronic -	
4.8	Copies of offer letters - successful applicants	T + 6	Admissions (in SITS)	1973 c.52	D-Con	Electronic -	
4.9	Copies of offer letters - unsuccessful applicants	CAY + 1	Admissions (in SITS)	Equality Act, 2010 c. 15	D-Con	Electronic -	
4.10	Records documenting the administration of the clearing process	CAY + 6	Admissions		D	Electronic -	
4.11	International student support VISA application case files	T + 6	International Student Support	1973 c.52 This is case file management under OISC and this meets the requirement (not a Home Office	D-Con	Electronic -	

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				(UKVI) requirement)			
4.12	Case files relating to admissions appeals and complaints	Last action on case + 1	Head of Admissions	BR	D-Con		Electronic -
5. Erasmus Administration							
5.1	Erasmus student records for incoming and outgoing students	T + 6	European Recruitment & Exchanges	British Council's ERASMUS Mobility Operational Handbook (final report + 5 years)	D-Con		
5.2	Student mobility agreements	T + 6	European Recruitment & Exchanges	BCEMOH (as above)	D-Con		
5.3	Student mobility partnerships	T + 6	European Recruitment & Exchanges	BCEMOH (as above)	D-Con		

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5.4	Registration forms for incoming ERASMUS students	End of student relationship with University	Recruitment & Exchanges		D-Con		
5.5	Erasmus forms	CAY + 1	Recruitment & Exchanges		D-Con		
5.6	Erasmus lists	CAY + 1	Recruitment & Exchanges		D-Con		
6. Student Records							
6.1	Core student record from SITS for all current students containing sufficient information to provide transcript	Permanent **Please note the permanent retention period was introduced in 2015. Prior to this the retention period was 10 years, in line with JISC Records Retention Schedule**	Schools – current students Records – awarded students	1973 c.52; U. K. Border & Immigration Agency *Points-based system: guidance for employers and sponsors Annex D* QAA & HEAR	Archive		Electronic -
6.2	Other information from SITS student record	T + 6	Records	1973 c.52;	D-Con		Electronic -

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				U. K. Border & Immigration Agency *Points-based system: guidance for employers and sponsors Annex D*			
6.3	Records documenting the handling of requests for confirmation of individual students' awards, attendance or conduct from employers and other educational institutions	Last action on request + 1	Records	BR	D-Con		Electronic -
6.4	Requests from students for a letter to confirm that they are a student at the University and letters provided	CAY + 1	Records	BR	D-Con		Electronic -
6.5	Correspondence with students concerning incorrect name on degree certificate including evidence of identification	CAY + 1	Student Administration	BR Final proof on core student record	D-Con		

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6.6	Student Support Attendance Requests received from the Students Loan Company	CFY + 6	Student Records & Systems	1973 c.52	D-Con		
6.7	Student Support Attendance Confirmation responses sent to the Student Loan Company	CFY + 6	Student Records & Systems	1973 c.52	D-Con		
6.8	Requests for confirmation of student's enrolment at the University received from Research Councils, LEAs, DSA and University studentship	CFY + 6	Student Records & Systems	1973 c.52	D-Con		
6.9	Records documenting the transfer of individual students to new programmes or to new modules within programmes	T + 6	Student Records & Systems	1973 c.52	D-Con		
6.10	Student withdrawal forms and debtor withdrawal letters	T + 6	Student Records & Systems	1973 c.52	D-Con		
6.11	Records documenting the termination of individual students' programmes	T + 6	Student Records & Systems	1973 c.52	D-Con		

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6.12	Personal details form (received from students for updating personal details on SITS)	Current academic + 1		1998 c.29	D-Con		
6.13	Academic details change requests	End of student relationship with University + 6		1973 c.52	D-Con		
6.14	Student Module Result Maintenance forms	Current academic + 1			D-Con		
7. Suspension and resumption of study							
7.1	Suspension and resumption of study requests (Schools also have input)	End of student relationship with University + 6	Systems & Student Records (in SITS)	1973 c.52	D-Con		Electronic -
7.2	Suspension and resumption of study requests on paper (Schools also have input)	End of student relationship with University + 6	Systems & Student Records (in SITS)	1973 c.52	D-Con		Hardcopy -
STUDENT SUPPORT							
8. Student Financial Support							

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Record Series (When quoting series number append with SAASv2.4 e.g. 1.1SAASv2.4)		Retention Period & Trigger	Retained by	Citation/ Rationale	Final action	Records category (Vital/Important/Useful/ Non-essential) & storage location	
8.1	Eligibility requirements and policies for scholarships, bursaries, Financial Contingency Fund, University administered trusts and studentships	Superseded + 6	Student Funding	1973 c.52	D-Con		
8.2	Records documenting the assessment of student applications for School bursaries, scholarships and studentships including completed application forms, evidence submitted, assessment forms and outcome letters – successful applicants	CAY + 6	Student Funding	1973 c.52	D-Con		
8.3	Records documenting the assessment of student applications for School bursaries, scholarships and studentships including completed application forms, evidence submitted, assessment forms and	Completion of application process + 6 months	Student Funding	1998 c.29 2010 c.15	D-Con		

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Record Series (When quoting series number append with SAASv2.4 e.g. 1.1SAASv2.4)		Retention Period & Trigger	Retained by	Citation/ Rationale	Final action	Records category (Vital/Important/Useful/ Non-essential) & storage location	
	outcome letters – unsuccessful applicants						
8.4	Records documenting the administration of School bursaries, scholarships and studentships including spreadsheets, databases, payment requests, correspondence, student expense claims and receipts	CAY + 6	Student Funding	1973 c.52	D-Con		
8.5	Signed terms and conditions from individual students for receiving University scholarships	End of scholarship + 6	Student Funding	1973 c.52	D-Con		
8.6	Records documenting the administration of University scholarships including spreadsheets, databases, payment requests and correspondence	CAY + 6	Student Funding	1973 c.52	D-Con		
8.7	Records documenting the assessment of student applications for the University	CAY + 6	Student Funding	1973 c.52	D-Con		

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	financial contingency fund and University administered trusts including completed application forms, evidence submitted, assessment forms and outcome letters – successful applicants						
8.8	Records documenting the assessment of student applications for the University financial contingency fund and University administered trusts including completed application forms, evidence submitted, assessment forms and outcome letters – unsuccessful applicants	Completion of application process + 6 months	Student Funding	Equality Act, 2010 c. 15	D-Con		
8.9	Records documenting the administration of the University financial contingency fund and University administered trusts including database and payment requests	CAY + 6	Student Funding	1973 c.52	D-Con		

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Record Series (When quoting series number append with SAASv2.4 e.g. 1.1SAASv2.4)		Retention Period & Trigger	Retained by	Citation/ Rationale	Final action	Records category (Vital/Important/Useful/ Non-essential) & storage location	
8.10	Annual payment lists detailing students being paid bursaries	CAY + 6	Student Funding	1973 c.52	D-Con		
8.11	Annual payment lists detailing students being paid scholarships	CAY + 6	Student Funding	1973 c.52	D-Con		
8.12	Emergency Loan Application forms	CAY + 1	Student Funding	1973 c.52	D-Con		
9. Student Support Services							
9.1	Records documenting the development of the institution's student wellbeing management procedures	Superseded + 5 .		1973 c.52 BR	Review for archival value.		
9.2	Student adviser case files	End of student relationship with University + 6	Student Advisers	1973 c.52 1998 c.29	D-Con		
9.3	Student Counselling case notes	End of student relationship with Student Counselling Service + 7	Student Wellbeing	BACP Code of Ethics 1998 c.29	D-Con		

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Record Series (When quoting series number append with SAASv2.4 e.g. 1.1SAASv2.4)		Retention Period & Trigger	Retained by	Citation/ Rationale	Final action	Records category (Vital/Important/Useful/ Non-essential) & storage location	
9.4	Student Counselling appointment diaries	End of student relationship with University + 7		BACP Code of Ethics	D-Con		
9.5	Disability & Inclusion case files containing independent diagnostic or medical reports, needs assessments for support at the University, copy correspondence, and copies of students' database record	T + 6	Disability & Inclusion	1973 c.52 1998 c.29	D-Con		
9.6	Copy letters to students who have disclosed that they have a disability on their application form but have not contacted the DDS	T + 6	Disability & Inclusion	1973 c.52 1998 c.29	D-Con		
9.7	Record of ATC loan bank + equipment	CAY + 1	Disability & Inclusion	BR	D-Con		
10. Academic Support							
10.1	Student database for 1:1 services in student retention	T + 6	Student Learning Advisers	1973 c.52 1998 c.29	D-Con	I	Electronic –

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Record Series (When quoting series number append with SAASv2.4 e.g. 1.1SAASv2.4)		Retention Period & Trigger	Retained by	Citation/ Rationale	Final action	Records category (Vital/Important/Useful/ Non-essential) & storage location	
10.2	Student database for 1:1 services in academic skills (including articulation focused)	T+ 6	Student Learning Advisers	1973 c.52 1998 c.29	D-Con	V	Electronic –
10.3	Retention service 1:1 interview feedback forms (used from 2005/6 – 212/13)	T + 6	Student Learning Advisers		D-Con	I	Paper, stored in locked filing cabinet
10.4	Care Leaver contact details and tracking (both applicants and matriculated students) form 2008/9	T+ 6	Student Learning Advisers	1973 c.52	D-Con	V	Electronic –
10.5	Signposts to Success attendees (college based students)	T + 6	Student Learning Advisers	1973 c.52	D-Con	I	Electronic –
10.6	Student Mentoring programme spreadsheets (list of mentors and mentees)	T + 6	Student Learning Advisers	1973 c.52	D-Con	V	Electronic –
10.7	Consent forms for photography/video/film/sound recording	CAY + 3	Student Learning Advisers	1998 c.29	D-Con	V	Paper, stored in locked filing cabinet; Electronic on

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10.8	Workshop databases for Academic Skills and Articulation workshops	CAY + 3	Student Learning Advisers	BR	D-Con	V	Electronic –
10.9	Key academic contacts	CAY + 3	Student Learning Advisers	BR	D-Con	U	Electronic –
10.10	Database of all the Student Learning team's dissemination activities	CAY + 3	Student Learning Advisers	BR	D	U	Electronic
11. Careers/ConfidentFutures/EmployerRelations							
11.1	Confident Futures workshops registration, feedback and bookings including 'Your Professional Development Questionnaire' from Induction workshops.	CAY + 1	Confident Futures Co-ordinator	Reference and planning purposes	D-Con at start of each academic year	U	Hardcopy - in secure cupboard in
11.2	Student satisfaction evaluation and attendance at workshops	CAY + 1	Confident Futures Co-ordinator	BR	D-Con		

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Record Series (When quoting series number append with SAASv2.4 e.g. 1.1SAASv2.4)		Retention Period & Trigger	Retained by	Citation/ Rationale	Final action	Records category (Vital/Important/Useful/ Non-essential) & storage location	
11.3	Career consultation system case notes for current students	End of student relationship with University + 6 months	Careers	1998 c.29	D-Con	U	Electronic -
11.4	Career consultation system case notes for graduates	Last contact with Careers Service + 1	Careers	1998 c.29	D-Con	U	Electronic -
11.5	Careers feedback forms	CAY + 1yr	Careers	1998 c.29	D-Con	U	Hardcopy - Secure in
11.6	Material promoting the careers service	Whilst current. Review for archival value	Careers	Updating required	D	N	Hardcopy -
11.7	Student mentee records, including application forms, photos, monitoring records and self-efficacy questionnaires	CAY + 1	Employer Relations team	1998 c.29 BR	D-Con	U	
11.8	Employer mentor records, including applications forms and database records	T (of relationship) + 6	Employer Relations team	1973 c.52	D-Con	I	
11.9	Mentor training evaluation questionnaires	CAY + 1	Employer Relations team	1998 c.29 BR	D-Con	U	

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Record Series (When quoting series number append with SAASv2.4 e.g. 1.1SAASv2.4)		Retention Period & Trigger	Retained by	Citation/ Rationale	Final action	Records category (Vital/Important/Useful/ Non-essential) & storage location	
11.10	Record of previous mentor/mentee matches	CAY + 1 year	Employer Relations team	1998 c.29 & BR	D-Con	U	
11.11	Mentee and mentor feedback forms	CAY + 1 year	Employer Relations team	1998 c.29 & BR	D-Con	U	
11.12	Event data (database)	CAY + 5 years	Employer Relations team	Reference/ BR	D-Con	I	
11.13	Santander Internship data (successful applicants)	CAY + 3	Employer Relations team	BR	D-Con	I	
11.14	Santander Internship data (unsuccessful applicants)	CAY + 1	Employer Relations team	BR	D-Con	U	
11.15	Santander Internship employer data	CAY + 3	Employer Relations team	BR	D-Con	I	
12. Market Intelligence							
12.1	Destination of Leavers in Higher Education questionnaires	Completion of survey + 1	Market Intelligence	HESA Data Protection Methodology	D-Con		Paper Copies and Electronic Records held on
12.2	Destination of Leavers in Higher Education submission reports	Completion of analysis of survey responses + 5	Market Intelligence		D		Electronic –

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12.3	Results of student surveys: summaries and analyses of responses	End of student relationship with University + 6			D		Electronic –
12.4	Records documenting the design and conduct of student surveys	Completion of survey + 5	Market Intelligence		D		Electronic –
12.5	Module Satisfaction Paper Questionnaires	Completion of survey + 1	Market Intelligence		D-Con		Paper copies
12.6	Response data for each survey undertaken	Completion of analysis of survey responses + 5	Market Intelligence		D-Con		Electronic -
13. Exams Administration							
13.1	Records documenting the development and establishment of the institution's academic	Superseded + 10 . Review for archival value.	Student Administration	1973 c.52 BR	D	I	

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	assessment policies: key records						
13.2	Records documenting the development and establishment of the institution's academic assessment policies: working papers	Issue of policy + 1	Student Administration		D		
13.3	Master copies of procedures relating to academic assessment	Superseded + 10 .	Student Administration	BR	Review for archival value.		
13.4	Records documenting the development of the institution's procedures relating to academic assessment: working papers	Issue of procedures + 1	Student Administration		D		
13.5	External examiners files containing records relating to the appointment of external examiners and Exam Board composition	Termination of appointment + 1	Academic Quality	1998 c.29 BR	D-Con		

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13.6	Records documenting liaison with external examiners on administrative matters	CAY + 1	Academic Quality	BR	D-Con		
13.7	Invigilator application forms - successful	Termination of appointment + 6	Student Administration	1973 c.52	D-Con		
13.8	Invigilator application forms – unsuccessful	Completion of appointment + 6 months if non migrant successful applicant, completion of appointment + 1 where successful migrant applicant	Student Administration	1998 c.29 2010 c. 15; U.K. Border & Immigration Agency *Points-based system: guidance for employers and sponsors Annex D*	D-Con		
13.9	Invigilators database containing contact details and pay details	Termination of appointment + 6	Student Administration	1973 c.52 1998 c.29	D-Con		
13.10	Records documenting the design and delivery of training for examination invigilators	CAY + 1	Student Administration	BR	D		

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13.11	Spreadsheets containing work schedules for invigilators	CAY + 1	Student Administration	BR	D-Con		
13.12	Correspondence with invigilators on administrative matters	CAY + 1	Student Administration	BR	D-Con		
13.13	Spreadsheet containing time sheet information submitted to Finance	CAY + 1	Student Administration	BR	D-Con		
13.14	Exams database used for producing exam timetable and logging exam paper movements	CAY + 1	Student Administration	BR	D		
13.15	Spreadsheet of costs for invigilation	CFY + 6	Student Administration	BR	D-Con		
13.16	Completed exam attendance register	CAY + 1	Student Administration	BR	D-Con		
13.17	Completed attendance slips	CAY + 1	Student Administration	BR	D-Con		
13.18	Exam incident reports	CAY + 1	Student Administration	BR	D-Con		

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13.19	Exam seating plan	CAY + 1	Student Administration	BR	D-Con		
13.20	Exam module contact list	CAY + 1	Student Administration	BR	D-Con		
13.21	Exam question papers	CAY + 1 , transfer to University Library unless requested otherwise by Convenor of Examining Board in line with the Academic Regulations	Student Administration		D-Con		
13.22	Records documenting the issue of exam timetables	CAY + 1	Student Administration		D-Con		
13.23	Exam and resit timetables	CAY + 1	Student Administration		D		
13.24	Application forms for Supplementary Exams	CAY + 1	Student Administration		D-Con		
13.25	Correspondence with students and their Universities	CAY + 1	Student Administration		D-Con		

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Record Series (When quoting series number append with SAASv2.4 e.g. 1.1SAASv2.4)		Retention Period & Trigger	Retained by	Citation/ Rationale	Final action	Records category (Vital/Important/Useful/ Non-essential) & storage location	
	concerning distance learning exams						
13.26	Copy invoices for distance learning exams	CFY + 1	Student Administration		D-Con		
14. Appeals							
14.1	Verification and appeals case files	Last action on the case + 6	Appeals, Complaints and Conduct Officer	1973 c.52	D-Con		Paper –
14.2	Verification and appeals case files held in case management record	Last action on the case + 6	Appeals, Complaints and Conduct Officer (in SITS)	1973 c.52	D-Con		Electronic –
14.3	Appeals log	Last action on the case + 6	Appeals, Complaints and Conduct Officer (in SITS)	1973 c.52	D-Con		Electronic –
15. Complaints							

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15.1	Complaints files - Quarterly reports	Last action on the case + 6	Appeals, Complaints and Conduct Officer	1973 c.52 1998 c.29	D		Electronic –
15.2	Complaints files: Stage 1	Last action + 3	Appeals, Complaints and Conduct Officer	1973 c.52 1998 c.29	D-Con		Electronic -
15.6	Complaints files: Stage 2	Last action on case + 6	Appeals, Complaints and Conduct Officer	1973 c.52 1998 c.29	D-Con		Electronic and paper
16. Conduct/Disciplinary							
16.2	Preliminary investigation case files relating to students on non professional courses – where case leads to a formal investigation	Last action on case + 6	Appeals, Complaints and Conduct Officer	1973 c.52 1998 c.29	D-Con		Electronic and paper
17. Academic Quality							
17.1	Internal monitoring	Until end of each review cycle + 5	Academic Quality				Electronic only -
17.2	Quality assurance and enhancement procedures and	Superseded + 5	Academic Quality	1973 c.52	D		Electronic only -

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	related committee papers indicating approval, review and replacement						
17.3	Academic regulations and related committee papers indicating approval, review and replacement	Superseded + 10	Academic Quality	1973 c.52	D		Electronic only -
17.4	Enhancement-led institutional review documentation	Until next review is complete	Academic Quality	1973 c.52	D		Electronic only -
17.5	Collaboration Agreements	End of period of agreement	Academic Quality	1973 c.52	D-Con		
17.6	External Examiner Reports	CAY + 5	Academic Quality		D-Con		Electronic only -
17.7	External Examiners files: personal information, correspondence, selection and appointment, contracts	End of contract +1	Academic Quality	1998 c.29	D-Con		
17.8	Sub-committees of Academic Board	CAY + 10	Committee Clerk	1973 c.52 BR	D-Con		Electronic only -
18. Graduation Administration							

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18.1	Spreadsheets and lists concerning attendance and ticket sales	Completion of graduation event + 1	Student Administration	BR	D-Con		
18.2	Graduation information on SITS student record	Non-core record information T + 6	Systems	1973 c.52	D-Con		
18.3	Graduation programmes	Master copy held permanently	Student Administration	BR	Archive		
18.4	Records documenting the organisation of award ceremonies	Completion of graduation ceremony + 1	Systems	BR	D		
18.5	Records documenting the production of award certificates	Completion of graduation ceremony + 1	Systems	BR	D		
18.6	Records documenting the mailing of award certificates to students who do not attend ceremonies	Completion of graduation ceremony + 1	Systems	BR	D		
19. Finance Records (All originals held by Finance, these are copies for reference only)							

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19.1	External orders	CFY+1	Administrator	BR	D-Con		
19.2	Internal orders	CFY+1	Administrator	BR	D-Con		
19.3	Departmental budget accounts	CFY+1 to 5 dependant on individual requirements to hold these for reference	Director/HoD's	BR	D-Con		
19.4	Purchase card records	CFY+1	Administrator	BR	D-Con		
19.5	Purchase orders and delivery notes	CFY+1	Administrator	BR	D-Con		
19.6	Expenses claim forms	CFY+1 Finance will retain the master records for CFY+6	Individual/Admini strator	BR	D-Con		
20. Human Resources Records (all other records not included below are held by HR)							
20.1	Health and Safety - accident and incident reports (COPIES)	C+1	Director/HoD Master record is held by H&S in line with the	1998 c.29 BR	D-Con		

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			Health and Safety at Work Act				
20.2	Job descriptions - specifications for positions (COPIES, reference only)	Superceded	Director	BR	D	Electronic –	
20.3	PDR Summary Report and Self Assessment Form	C+2 Typically this is the last result of routine assessments of an employee's performance and any consequent action taken.	Line Manager	1998 c.29 BR	D-Con		
20.4	Monitoring of hours worked	C+1	Line Manager	1998 c.29 BR	D-Con		
20.5	Training – identified training needs and action	CAY+1	Line Manager	1998 c.29 BR	D-Con		

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V) Approval

Signed _____   Date _____
(Head of Department)

Print Name _____   Job Title _____

Signed _____   Date _____
(Governance Services)

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

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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 Officer (Records Manager), Governance Services, 0141 455 6257.

Please use block capitals when filling in this form
School/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

A=archival, C=current, CAY=current academic year, CFY=current financial year, D=destroy, D-CON=destroy confidentially, P=permanent (life of University), BR=business requirement, R=review for archival selection, T=termination of staff/student status or contract term
This retention schedule applies to all information regardless of format (i.e. paper and electronic). All retention periods are given in years unless otherwise stated.

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: Senior Governance Officer (Records Manager), 5.B.18 Sighthill Campus, email: foi@napier.ac.uk, Fax: 0131 455 6269

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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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