



ABERYSTWYTH UNIVERSITY RECORDS RETENTION SCHEDULE

V1.0

**May 2012
Records Manager**

Key:

Retention period -

Current year Current calendar year

Authority –

RM Records Manager

JISC Recommended by JISC (Joint Information Systems Committee)

CM Copyright Manager

Final action -

CW Confidential waste

R Recycle

D Delete from electronic system

Review Review for ongoing operational / archival value

Archive Send to archive for permanent preservation after operational use has ceased

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EQUALITY & DIVERSITY

The function of managing the institution's compliance with legislation on equal opportunities.

****The person responsible is the Equalities Advisor unless otherwise stated****

Discrimination Complaints Handling

The activities involved in handling formal complaints about (alleged) discrimination by or within the institution and against staff or students on the grounds of gender, disability, race, religion, sexuality, or age.

Activities include: reviewing and investigating complaints; informing complainants about the outcomes of reviews and investigations; responding to any further action taken by complainants.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting the handling of formal complaints about discrimination by or within the institution.			Last action on case + 6 years	1980 c. 58 s 2	CW / D	

Comment [j1]: Duty imposed by Regulation 2 of Disability Discrimination (Public Authorities) (Statutory Duties) Regulations 2005 (SI 2005/2966)

Comment [j2]: Duty imposed by Article 2 of Sex Discrimination Act 1975 (Public Authorities) (Statutory Duties) Order 2006 (SI 2006/2930)

Comment [j3]: Duty imposed by Article 4 of Sex Discrimination Act 1975 (Public Authorities) (Statutory Duties) Order 2006 (SI 2006/2930)

Comment [j4]: Duty imposed by Article 3(1) of Race Relations Act 1976 (Statutory Duties) Order 2001 (SI 2001/3458)

Comment [j5]: Duty imposed by Regulation 4 of Disability Discrimination (Public Authorities) (Statutory Duties) Regulations 2005 (SI 2005/2966)

Comment [j6]: Duty imposed by Article 6 of Sex Discrimination Act 1975 (Public Authorities) (Statutory Duties) Order 2006 (SI 2006/2930)

Comment [j7]: Duty imposed by Article 3(4)(a) of Race Relations Act 1976 (Statutory Duties) Order 2001 (SI 2001/3458)

Comment [j8]: Duty imposed by Article 3(4)(b) of Race Relations Act 1976 (Statutory Duties) Order 2001 (SI 2001/3458)

Equality Compliance

The activities involved in complying with the requirements of legislation on disability equality, on equality for different racial groups, and on equality for men and women.

Activities include: preparing and publishing the institution's Disability and Gender Equality Schemes (including publishing revised Schemes every three years) and race equality policy; preparing and publishing the institution's annual reports on the implementation of its Disability and Gender Equality Schemes; assessing the impact of the institution's policies and practices on equality for disabled people, on equality between men and women, and on students and staff from different racial groups, and publishing the results; monitoring, by racial group, student admission and progress, and employee recruitment and career progress, and publishing the results.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting the preparation/revision of the institution's Disability Equality Scheme, Gender Equality Scheme and Race Equality Policy.	Action plans	Equalities Advisor	Superseded + 5 years	JISC	R / D	SI 2005/2966, SI 2006/2930, and SI 2001/3458 do not prescribe a retention period for

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						these records. Retaining previous versions provides evidence of compliance and effective management of equality over time
Records documenting the preparation of annual reports on the implementation of the institution's Disability and Gender Equality Schemes.		Equalities Advisor	Current year + 5 years	JISC	R / D	
Records documenting assessments of the impact of the institution's policies and practices on equality for disabled persons, for men and women, and between different racial groups.	Equality Impact Assessment screening forms and summary data	Equalities Advisor	Superseded + 5 years	JISC	R / D	Local copies should be destroyed when superseded
Records documenting the monitoring, by racial group, of student admission and progress.		Equalities Advisor if involved, otherwise creating department	Current year + 5 years	JISC	R / D	
Records documenting the monitoring, by racial group, of employee recruitment and career progress.		Equalities Advisor if involved, otherwise creating department	Current year + 5 years	JISC	R / D	

Equality & Diversity Monitoring

The activities involved in monitoring equal opportunities within the institution.

Activities include: collecting data on student recruitment, admissions, progression and attainment, and on employee recruitment and promotion; analysing data in relation to equality for men and women, disabled people, people of different ages and of different racial groups; preparing and submitting formal reports of equal opportunities monitoring to external organisations.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records containing summary statistical information resulting from equality monitoring.	Recruitment monitoring form	Equalities Advisor	Current year + 5 years	JISC	CW / D	Individual Equality & Diversity Monitoring

						Forms should be retained for 6 months, together with other recruitment records
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Equality & Diversity Training

The activities involved in providing training for institutional staff on equality and diversity issues.

Activities include: identifying training requirements; analysing training needs; identifying and evaluating training options. For external training, activities include: identifying and evaluating training programmes; organising attendance at training events; evaluating training programmes/events. For internal training, activities include: developing training programmes; organising and arranging training events; delivering training; evaluating training programmes/events.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting the development and delivery of training on equality and diversity issues and procedures.	Diversity e-Learning in the Workplace		Current year + 5 years	JISC	CW / D	

ESTATE MANAGEMENT

The function of managing the institution's estate and its impact on the environment, and ensuring compliance with environmental legislation.

Estate means land and buildings (or other fixed structures) on land.

Energy Management

The activities involved in monitoring and controlling the institution's use and consumption of energy.

Activities include: conducting energy audits.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting routine monitoring of the institution's use and consumption of energy.	Meter readings Display Energy Certificates		Current year + 5 years	JISC	Review	
Records documenting the conduct and results of formal reviews of the institution's use and consumption of energy, and action taken to address issues raised.	Estate management statistics		Completion of review + 5 years	JISC	CW / D	

Environmental Audit

The activities involved in conducting environmental audits of the institution's activities and operations.

Activities include: planning audits; conducting audits; writing and delivering audit reports; reviewing and responding to audit reports.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting the conduct and results of environmental audits, and action taken to address issues raised.		Creating department	Completion of audit + 5 years	JISC		

Environmental Awareness Promotion

The activities involved in raising awareness of environmental issues among the institution's staff and students, to improve the institution's overall environmental performance.

Activities include: designing and implementing campaigns to raise staff and student awareness of environmental issues.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting action taken by the institution to raise awareness of environmental issues among its employees, other staff and students.		Creating department	Current + 5 years	JISC	Review	

Environmental Management Scheme Accreditation Management

The activities involved in obtaining and maintaining accreditation under established environmental management schemes (e.g. EMAS).

Activities include: applying for accreditation; liaising with accreditation bodies; facilitating inspections/audits by accrediting bodies.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting the attainment and maintenance of the institution's accreditation under established environmental management schemes.		Creating department	Termination of accreditation + 1 year	JISC	Review	

Property Acquisition

The activities involved in acquiring ownership or use of land or buildings through purchase, transfer, donation, lease or rental.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting the acquisition of ownership of properties.	Land Registry records	University Solicitors	Disposal of property + 12 years	1980 c. 58 s 8	Archive	This retention period assumes that property contracts are executed as deeds. For other types of contracts, the retention period

						may be 6 years rather than 12 years.
Deeds of title for properties owned by the institution.	Title deeds	University Solicitors	Disposal of property	JISC		Deeds of title for a property are transferred to the new owner when the property is sold.
Records documenting negotiations for properties where the property was not acquired.			Closure of negotiations + 6 years	1980 c. 58 s 2		
Records documenting the acquisition of property by lease or rental		University Solicitors	Expiry of lease + 15 years	1980 c. 58 s 14B		

Property Development and Maintenance

The activities involved in developing (including changing use; constructing new buildings or other structures; undertaking conservation or restoration work; extending, altering and reconfiguring) and maintaining land and buildings .

Activities include: undertaking feasibility studies; conducting consultations; developing specifications; preparing building plans; obtaining planning consents; obtaining permits for specific types of work; undertaking development works; inspecting completed works and arranging external inspections to obtain necessary certifications, conducting general inspections; establishing and implementing planned maintenance programmes; carrying out reactive maintenance; conducting inspections to determine the presence and condition of hazardous materials (e.g. asbestos); carrying out decontamination works.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting small works on property.	Project files: small works		Completion of works + 6 years		R / D	
Records documenting major works on property.	Project files: major works		Disposal of property	JISC		Some of these records may be transferred to new owners when land is sold.

Records documenting routine inspections of property.			Date of inspection + 5 years	JISC	Review	Retaining inspection records provides evidence of effective property management.
Health and Safety File for a structure, as required by Regulation 14(d) of the Construction (Design and Management) Regulations 1994 (SI 1994/3140)			Disposal of property	SI 1994/3140 Regulation 12		SI 1994/3140 does not prescribe a retention period for these records but Regulation 12 implies that the Health and Safety File for a structure should be retained for the life of the structure by the person responsible for the property. Regulation 12(2) requires that a Health and Safety File is transferred to the new owner when ownership transfers.
Records documenting applications for planning consents required to (re)develop property and consents granted.			Disposal of property or expiry of consent.	JISC		Planning consents which are valid when a property is sold are transferred to the new owner.
Records documenting assessments made to determine the presence (or likely presence) of asbestos in premises, as required by Regulation 4(3) of the Control of Asbestos Regulations 2006 (SI 2006/2739).	Asbestos register		Review of assessment + 10 years	JISC	Review	SI 2006/2739 does not prescribe a retention period for these records. Retaining

						assessments provides evidence of effective management of risks associated with works carried out.
Records documenting the monitoring of the condition of asbestos in premises, and of maintaining or removing it.			Removal of asbestos + 10 years OR Subsequent inspection + 10 years	JISC	Review	Retaining these records provides evidence of compliance with SI 2006/2739.
Records documenting the restoration of contaminated land			Disposal of property	JISC		

Property Disposal

The activities involved in disposing of land and buildings which are no longer required through sale, transfer, termination of lease, auction, donation or demolition.

Activities include: obtaining valuations; undertaking surveys.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting the disposal of properties	Property valuations		Disposal of property + 12 years	1980 c. 58 s 8		This retention period assumes that property contracts are executed as deeds. For other types of contracts, the retention period may be 6 years rather than 12 years.

Property Leasing-out

The activities involved in leasing land and buildings to third parties.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting leasing-out arrangements for properties.	Subletting agreements Wayleave agreements	University Solicitor	Expiry of lease + 12 years	1980 c. 58 s 8		This retention period assumes that leases are executed as deeds. For other types of contracts, the retention period may be 6 years rather than 12 years.

Property Security Management

The activities involved in protecting land and buildings from accidental or intentional damage and in preventing unauthorised access.

Activities include: conducting security inspections; conducting routine surveillance operations (e.g. guarding, patrol and CCTV surveillance) to prevent and detect unauthorised access; responding to, and investigating, security breaches or incidents.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting the conduct and results of security inspections of properties, and action taken to address issues raised.		Creating department	Completion of subsequent inspection	JISC	Review	
Records documenting property access controls to secure areas (e.g. access registers, key registers, security data logs).	Signing-in books Key registers	Creating department	Creation + 2 years	JISC	CW / D	
Records of security passes issued to visitors	Visitor's passes	Creating department	Expiry of pass + 1 year	RM	CW / D	
Records of security passes, keys and parking permits issued to employees, other staff, contractors and students.	Swipe cards Parking permit forms	Creating department	Expiry of pass + 1 year	JISC	CW / D	
Records documenting the conduct of routine	Closed Circuit Television	Creating department	Creation + 1 month	JISC	D	

security surveillance of properties.	(CCTV) footage					
Records documenting security breaches or incidents, and action taken.		Creating department	Last action on incident + 1 year	JISC	Review	

Property compliance management

The activities associated with complying with statutory or regulatory requirements relating to the ownership, occupancy and management of properties. Activities include: conducting required internal inspections; facilitating inspections by enforcing authorities; ensuring the proper maintenance of legally required licensing and certification (e.g. fire certificates).

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting the conduct and outcomes of inspections of facilities by enforcing authorities.			Completion of subsequent inspection	RM	Review	A longer retention period may be advisable for particular types of facilities (e.g. where there are significant health and safety risks) in order to maintain evidence of effective management over time.
Original licences and certificates	Fire certificates		When superseded	RM	Review	

Space Management

The activities involved in allocating space and in monitoring and reviewing space utilisation. Activities include: conducting space audits; monitoring the utilisation of space, ensuring compliance with legislation.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting the conduct and outcomes			Completion of	JISC	Review	

of space audits.			subsequent audit + 5 years			
Records documenting the utilisation of space	Utilisation surveys		When superseded	RM		

Waste Management

The activities involved in collecting, classifying, storing, and disposing of the institution's waste.

Disposing means destruction by recycling or incineration or dumping into landfill.

Waste means: 'household waste', 'industrial waste' and 'commercial waste' as defined in the Controlled Waste Regulations 1992; 'special waste' as defined in the Special Waste Regulations 1996. For practical purposes, these categories include: office waste; catering waste; redundant equipment and consumables; redundant records; clinical waste; other hazardous waste.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Register of 'special waste' removed from the premises for disposal by registered/licensed contractors, as required by Regulation 15 of the Special Waste Regulations 1996 (SI 1996/972).		House Services	Removal of waste consignment + 3 years	SI 1996/972 Regulation 15(4)	Review	SI 2005/894 repealed SI 1996/972 but SI 2005/894 Regulation 51(4) requires registers made under SI 1996/972 Regulation 15(4) to be retained for the period specified here.
Records documenting hazardous waste to be disposed of, as required by Regulation 49 of the Hazardous Waste (England and Wales) Regulations 2005 (SI 2005/894).		House Services if involved, otherwise creating department	Removal of waste + 3 years	SI 2005/894 Regulation 49(3)	Review	SI 2005/894 Regulation 49(1) specifies the content of these records.
Records documenting the disposal of confidential waste	Destruction certificates	House Services	Removal of waste + 3 years	RM	CW	

FINANCE

The function of managing the institution's financial resources.

****The area responsible is the Finance Office unless otherwise stated****

Asset management

The activities involved in collecting, recording and analysing information about the value of the institution's fixed assets for accounting purposes.

Activities include: recording acquisition and disposal of fixed assets; valuing assets and calculating depreciation; writing off assets prior to disposal; maintaining an asset register.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting the value of the institution's capital assets.	Inventory Asset register		Current financial year + 6 years	1970 c. 9 s 34	Review	Capital asset register to be retained permanently
Records documenting decisions (and authorisations) to dispose of capital assets.	Fixed asset disposal forms Asset disposal disclaimer		Current financial year (of disposal) + 6 years	1970 c. 9 s 34 1980 c. 58 ss 2 and 5	Review	Disposal of fixed assets may be recorded locally if the original cost or purchase was less than £10,000

Cash management

The activities involved in managing the institution's liquid assets.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting the opening, closure and routine administration of University bank accounts.	Bank statements		Closure of account + 6 years	1980 c. 58 s 5	CW / D	
Records documenting standing orders, direct debits etc. from University bank accounts	Direct debit mandates		Life of instruction + 6 years	1980 c. 58 s 5	CW / D	
Records documenting routine University bank	Paying-in slips		Current financial	1970 c. 9 s	CW / D	

account deposits/withdrawals/transfers	Transfer instructions Withdrawal slips Daily banking reports		year + 6 years	34 1980 c. 58 s 5		
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Financial accounting

The activities involved in processing, recording, classifying and analysing financial transactions between the institution and third parties, and between the institution and its employees.

Activities include: Accounting for income; accounting for expenditure; accounting for payments (other than salaries) to employees; accounting for payments to honorary appointees and other third parties.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting the issue of sales invoices and the processing of incoming payments.	Sales invoices / invoice requests Accounts receivable Credit notes Income batches Receipts BACS Reports Authorisation for raising an invoice Till rolls	Creating department	Current financial year + 6 years	1970 c. 9 s 34 1980 c. 58 s 5 1994 c. 23 HMRC 700/21 para. 5.2	CW / D	Local copies should be retained for no longer than 2 years
Records documenting the receipt and payment of purchase invoices.	Invoices Expenditure batches		Current financial year + 6 years	1970 c. 9 s 34 1980 c. 58 s 5 1994 c. 23 HMRC 700/21 para. 5.2	CW / D	Local copies should be retained for no longer than 2 years
Records documenting the payment and/or reimbursement of employees' expenses.	Travelling and subsistence claim forms and receipts		Current financial year + 6 years	1970 c. 9 s 34 1980 c.	CW / D	Local copies should be retained for no

	Advance expense request forms			58 s 5		longer than 2 years
Records documenting the payment of expenses to third parties (e.g. external examiners).	P1 payments forms		Current financial year + 6 years	1970 c. 9 s 34 1980 c. 58 s 5	CW / D	Local copies should be retained for no longer than 2 years
Records documenting the handling of petty cash.	Petty cash books Petty cash claim forms Visit to departments for petty cash forms		Current financial year + 6 years	1980 c. 58 s 5 1994 c. 23 HMRC 700/21 para. 5.2	CW / D	Petty cash books are held and managed locally
Records documenting the receipt and processing of tuition and accommodation fees.	Student correspondence Reminder letters Accommodation fees records on AStRA	Finance and Accommodation Office	Current financial year + 6 years	1970 c. 9 s 34 1980 c. 58 s 5	CW / D	
Records documenting the preparation of annual accounts			Current financial year + 6 years	1980 c. 58 s 5	CW / D	
Annual Accounts			Current financial year + 6 years	1980 c. 58 s 5	Archive	

Funding management

The activities involved in administering the institution's income

Activities include: acknowledging receipt of funds; monitoring the use of funds and ensuring compliance with terms and conditions of funding; preparing reports and other information on the use of funds for funding providers.

Income includes: funding allocated by HE funding councils for teaching, research and other purposes; research grants; research contract income; income from provision of other commercial services; income from endowments and trusts; donations; interest earned on cash balances and investments; fee income from short courses; income from sponsorship.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting the administration of annual funding allocations from the appropriate statutory funding body.			Current financial year + 10 years	JISC	Review	
Records documenting the administration of	Research project files,		Termination of grant	1980 c. 58	CW / D	Files created at

research grants provided by research councils or corporate sponsors.	including initial application, award letter, copies of staff contracts, purchase invoices		+ 6 years	s 5		department level should be passed to Finance on completion of the project
Records documenting the administration of funding from European Structural Funds.	Research project files, including initial application, award letter, copies of staff contracts, purchase invoices		Final payment on the programme to the UK + 3 years	EC No. 1260/1999 Article 38	Review	Files created at department level should be passed to Finance on completion of the project
Records documenting the administration of endowments and scholarship funds.			End of terms of endowment + 6 years	RM	Review	See also FINANCE, Investment Management

Comment [j9]: Documents relating to the implementation and financing of ESF funded projects must be retained until 3 years after the European Commission makes the final payment for the programme to the UK. For example, the current European Social Fund programme is due to end on 31 December 2024. The dates may be changed so it is advisable to retain all documents relating to ESF funded projects until a Government Office advises that they may be destroyed.

Internal accounting

The activities involved in processing financial transactions between operating units (i.e. internal cross-charging).

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting the processing of internal accounting transactions between operating units (i.e. cross-charges).	Journal transactions		Current financial year + 1 year	JISC	CW / D	
Records documenting the negotiation and administration of formal contracts between operating units (e.g. for the provision of services.)	Service-level agreements		Termination of contract + 1 year	JISC	CW / D	

Investment management

The activities involved in managing the institution's financial investment portfolio.

Activities include: liaising with fund managers.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting the overall management of the institution's financial investment portfolio.	Reports from fund managers		Divestment + 6 years	1980 c. 58 s 5	CW / D	
Records documenting the purchase/sale of investments.			Current financial year (of transaction) + 6 years	1970 c. 9 s 34	CW / D	

Management accounting and budgeting

The activities involved in planning, monitoring and controlling the use of the institution's financial resources, and preparing and managing the institution's annual revenue and capital budgets.

Activities include: setting budgets (at corporate level and for individual departments and services); monitoring actual against planned expenditure; virement.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting the preparation of annual operating budgets.			Current financial year + 1 year	JISC	Review	
Records documenting the monitoring of income and expenditure against annual operating budgets, and action taken to deal with variances.	Monthly reports for departments		Current financial year + 1 year	JISC	CW / D	This retention period also applies to local copies
Records documenting analyses of the internal deployment of the institution's financial resources.			Current financial year + 1 year	JISC	Review	
Records documenting analyses of the internal deployment of financial resources by Planning and Resources		Planning Office	Current year + 5 years	RM	Review	

Payroll administration

The activities involved in administering the institution's employee payroll.

Activities include: processing statutory payroll deductions; authorising and processing non-statutory and elective payroll deductions; transferring payroll payments; notifying employees of their employment-related tax liabilities.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting employees' authorisation for non-statutory payroll deductions.	Union subscriptions Brynamlwg membership forms Sports Centre membership forms Parking permit forms		Current tax year + 6 years	1980 c. 58 s 5	CW / D	
Records documenting calculation and payment of employees' salaries and other payments, including honoraria.	Copy contracts Contract variations		Current tax year + 6 years	1970 c. 9 s 34	CW / D	
Employer's PAYE records which are not required to be sent to the Inland Revenue (under the provisions of the Income Tax (Pay As You Earn) Regulations 2003.	Copy payslips for individual staff		Current tax year + 3 years	SI 2003/2682 Regulation 97(8)	CW / D	Held on Cyborg
Records documenting the administration of payments made under the Statutory Sick Pay scheme.	Self-certification forms Monthly departmental sickness returns	Human Resources	Current tax year + 3 years	SI 1982/894 Regulation 13	CW / D	
Records documenting the administration of payments made under the Statutory Maternity Pay scheme.	MATB1 forms		Current tax year + 3 years	SI 1986/1960 Regulation 26	CW / D	Copies also retained by HR in employee files
Payroll registers documenting staff salary details and pension contributions			Current year + 75 years	Finance	Archive	

Pension administration

The activities involved in administering the institution's involvement with external pension schemes of which its' staff are members, including payments of the employers' and employees' contributions to pension schemes

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting payments of the institution's employers' and employees' contributions to pension schemes.	Annual returns Individual staff record cards		Termination of employment + 75 years	1980 c. 58 s 32	CW / D	
Records documenting the institution's relationships with pension schemes to which all or part of its workforce belongs			Termination of relationship + 5 years	JISC	Review	
Records documenting routine communications with the pension schemes.			Current year + 5 years	JISC	CW / D	
Records documenting individual staff membership of pension schemes	Salary / Wage Enrolment forms Membership certificates Pension scheme application forms Expression of Wish forms Opt-out forms		Current year + 75 years	Finance	Archive	

Tax management

The activities involved in managing the institution's tax affairs.

Activities include: preparing and filing tax returns; managing the institution's obligations for collecting and paying VAT on goods and services.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting the preparation and filing of the institution's tax returns.			Current tax year + 6 years	1970 c. 9 s 34	CW / D	
Records documenting the institution's accounting for VAT.			Current tax year + 6 years	1994 c. 23 s 58 and Schedule	CW / D	

				11, para. 6(3) SI 1995/2518 s 31 HMRC 700/21 para. 5.2		
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HUMAN RESOURCES

The function of managing the institution's workforce and its contractual relationship with individual employees

****The area responsible is Human Resources unless otherwise stated****

Employee Contract Management

The activities involved in managing the institution's contractual relationships with individual employees.

Activities include: maintaining complete and accurate records of individual employees' recruitment, induction, performance, discipline, training and development, occupational health and welfare, leave, pensions and termination; providing employment references for current and former employees.

The file held in Human Resources should be considered the definitive staff personal record. Local files may be retained locally and will contain mainly copies of records. These records should be retained for no longer than termination of employment + 6 years

It is not expected that individual records will be weeded from HR staff files. The complete file should therefore be retained in HR for 2 years after the termination of employment, after which it will be transferred to the Central Records Store for a further 4 years. Before disposal, the files will be reviewed and those relating to senior academics and administrators, those who have had a major workplace-related injury, and those who may have been exposed to hazardous substances will be retained.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting the employee's initial (and any subsequent successful applications) application for employment with the institution and supporting documentation supplied by third parties	Application form References Criminal Records Bureau checks		Termination of employment + 6 years	1980 c. 58 s 5	CW / D	A note of the date and outcome of the CRB check is all that should be retained
Records documenting the employee's contract(s) of employment with the institution.	Signed contract		Termination of employment + 6 years	1980 c. 58 s 5	CW / D	
Records documenting changes to the employee's terms and conditions of employment.	Variations Extensions		Termination of employment + 6 years	1980 c. 58 s 5	CW / D	
Records documenting the job descriptions of positions held by the employee within the institution.	Job description Person specification		Duration of job + 1 year		CW / D	

Records documenting induction programmes attended by the employee.			Completion of induction + 1 year		CW / D	
Records documenting the employee's training and development needs, and the action taken to meet these needs.		Department	Completion of actions + 5 years		CW / D	
Records documenting job-specific statutory/regulatory training requirements for the employee, and the training provided to meet these requirements.		Department	Expiry of certification + 6 years	1980 c. 58 s 5	CW / D	
Records documenting routine assessments/reviews of the employee's performance, and any consequent action taken.	Staff development reviews Appraisals Industrial Year Placement reports	Individual / line manager	Superseded + 3 years	JISC	CW / D	
Records documenting disciplinary proceedings against the employee, where employment continues.	Disciplinary file		Closure of case + 6 years		CW / D	A separate file should be created alongside the personal file, which should then be destroyed after 6 years
Records documenting grievances raised by the employee which relate directly to his/her own contract of employment, the institution's response, action taken and the outcome.	Grievance file		Closure of case + 6 years		CW / D	A separate file should be created alongside the personal file, which should then be destroyed after 6 years
Records documenting the employee's remuneration and rewards (e.g. bonuses, merit awards, long service awards).	Bonuses Merit awards Long service awards Honoraria		Current tax year + 6 years	1970 c. 9 s 34	CW / D	
Records relating to the administration of the employee's contractual holiday entitlement.	Leave forms / cards	Department	Current year + 1 year		CW / D	
Records documenting the employee's absence	Sick notes	Receiving area	CY + 1	RM	CW	

due to sickness.						
Records documenting major injuries to an employee arising from accidents in the workplace.		Health, Safety & Environment Office	Termination of employment + 40 years	1980 c. 58 s 5		
Records documenting the authorisation and administration of special leave, e.g. compassionate leave, study leave.	Vice-Chancellor's approval		Current year + 1 year		CW / D	
Records documenting the authorisation and administration of statutory leave entitlements, e.g. parental leave.			Completion of entitlement + 6 years	SI 1999/3312	CW / D	
Records documenting entitlements to, and calculations of, Statutory Maternity Pay.			Current Tax Year + 3 years	SI 1986/1960 Regulation 26	CW / D	
Records containing employee's basic personal details (e.g. address, next of kin, emergency contacts).			Superseded		CW / D	
Records documenting pre-employment health screening of an employee: employees exposed to hazardous substances during employment.	Health declaration form		Last entry + 40 years		CW / D	
Records documenting pre-employment health screening of an employee: other employees.	Health declaration form		Termination of employment + 6 years	1980 c. 58 s 5	CW / D	
Records documenting the issue of personal protective equipment/other special equipment to an employee.		Department	Termination of employment + 6 years	1980 c. 58 s 5	CW / D	
Records documenting the employee's termination of employment by voluntary resignation, redundancy, retirement (including on medical grounds) or dismissal.			Termination of employment + 6 years	1980 c. 58 s 5	CW / D	
Records documenting the employee's probationary period	Request for probation reports Probation reports and other records assessing the probationary period		Termination of employment + 6 years	Limitation Act 1980	CW / D	Local copies should be retained by the mentor for no longer than

	Letter confirming post following successful probationary period					termination of employment + 6 years
Records documenting references provided in confidence in support of the employee's application(s) for employment by another organisation.	Reference request Copy of reference	Referee	Termination of employment + 6 years	RM	CW / D	

Industrial Relations Management

The activities involved in managing the institution's relationships with trades unions and labour organisations representing its workforce.

Activities include: managing recognition and de-recognition of trades unions; managing communication and consultation with trades unions and labour organisations conducting collective bargaining on behalf of the workforce.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting institutional recognition/derecognition of trades unions.			Recognition / derecognition + 6 years	1980 c. 58 s 5	Review	
Records documenting agreements with trade unions.	Procedure agreements		Termination of agreement + 10 years	Chartered Institute of Personnel and Development, Retention of personnel and other related records (2006)	Review	
Records documenting routine communications with trade union representatives, including	Joint Consultative Committee papers		Current year + 20 years	JISC	Review	

minutes of meetings.						
Records documenting consultations/negotiations with trade unions on specific issues.			Last action on issue + 20 years	JISC	Review	

Workforce Induction

The activities involved in developing and implementing induction programmes for new employees.

Activities include: developing general and role-specific induction programmes; administering induction programmes to ensure that all new employees complete the required programme.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting the development, overall delivery and assessment of induction programmes for new employees.		Human Resources if involved, otherwise creating department	Current year + 5 years	JISC	R / D	
Records documenting the administration of induction programmes.	Induction checklists	Human Resources if involved, otherwise creating department	Completion of programme + 1 year	JISC	R / D	

Workforce Performance Management

The activities involved in monitoring employee performance.

Activities include: designing methods of measuring performances; conducting and analysing performance assessments.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting the development of workforce performance assessment systems.			Life of system + 5 years	JISC	CW / D	
Records containing summary (anonymised) results of employees' performance assessments.			Current year + 3 years	JISC	CW / D	
Records documenting management analyses of the impact of workforce performance assessment systems.			Current year + 5 years	JISC	CW / D	

Workforce Planning

The activities involved in identifying the workforce competencies and numbers required to implement the institution's strategic plan and determining how to meet these requirements.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting the assessment and analysis of workforce requirements, and the identification and evaluation of options for meeting these requirements.	Staffing plans Development plans, Projections of staff turnover		Current year + 3 years	JISC	Review	
Records documenting the development of terms and conditions for specific groups of employees.	Generic terms and conditions		Superseded + 5 years	RM	Review	
Records documenting management succession plans.			Superseded + 5 years	JISC	Review	
Records documenting the development and evaluation of job specifications / role analyses, including criteria for assessment	HERA outline role profile forms HERA written interview record HERA scoring database		Superseded + 5 years	JISC	Review	

Workforce Recruitment

The activities involved in recruiting employees to fill vacant positions.

Activities include: authorising recruitment; advertising vacancies; handling enquiries about vacancies; processing employment applications; reviewing and responding to unsolicited applications for employment.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting internal authorisation for recruitment.	Planning Group approvals Appointment Authorisation form		Current year + 1 year	JISC	R / D	

Records documenting the advertising of vacancies.	Job files, which include: Request to advertise a vacancy, Job advertisement, Further particulars		6 months	1975 c. 65 1976 c. 74 1995 c. 50 SI 2006/1031 Regulation s 7, 36 and 42 SI 2003/1660 Regulation s 6, 28 and 34 SI 2003/1661 Regulation s 6, 28 and 34 Employment Practices Code, Section 1.7.1 (Information Commissioner's Office, 2005)	CW / D	
Records documenting enquiries about vacancies and requests for application forms.			6 months	JISC	CW / D	
Records documenting the handling of applications for vacancies: unsuccessful applications.	Application forms: unsuccessful applicants		6 months	1975 c. 65 1976 c. 74 1995 c. 50 SI 2006/1031	CW / D	All application forms and supporting documents are held in a job box until the closing date. Job file

				Regulation s 7, 36 and 42 SI 2003/1660 Regulation s 6, 28 and 34 SI 2003/1661 Regulation s 6, 28 and 34		and job box merged on appointment of successful candidate and retained for 6 months. Equality & Diversity Monitoring Forms should be passed to the Equalities Advisor
Records documenting the handling of applications for vacancies: successful applications.	Application forms: successful candidates		Termination of employment + 6 years	1980 c. 58 s 5	CW / D	On appointment, these records should be transferred to the employee's personal file
Records containing management analyses of recruitment effectiveness e.g. use of advertising media.	Recruitment monitoring form		Current year + 1 year	JISC	Review	
Records documenting the handling of unsolicited applications for employment.	Unsolicited CVs		Receipt of application + 1 year	JISC	CW / D	

Workforce Relations Management

The activities involved in managing the institution's relationship with its workforce.

Activities include: developing and implementing mechanisms for communicating with, and consulting, the workforce; conducting workforce surveys and reviewing and responding to the results.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting the design of workforce surveys and consultations			Completion of survey/consultation	JISC	R / D	

			+ 5 years			
Records containing (identifiable) individual responses to workforce surveys and consultations.	Linguistic skills questionnaires		Completion of analysis of responses	JISC	CW / D	
Records containing summary (anonymised) results of workforce surveys and consultations.			Completion of survey + 5 years	JISC	CW / D	
Records documenting grievances raised by staff (which do not relate directly to their own contracts of employment), the institution's response, action taken and the outcome.			Last action on case + 6 years	1980 c. 58 s 5	CW / D	

Workforce Remuneration & Reward Management

The activities involved in developing and implementing workforce pay structures and reward schemes.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting the development of the institution's remuneration structure.	Pay scales		Current year + 10 years	JISC	Review	
Records documenting pay reviews.			Current year + 5 years	JISC	CW / D	
Records documenting special reward schemes (e.g. Merit Awards).			Termination of scheme + 5 years	JISC	Review	

Workforce Training & Development

The activities involved in providing training and development opportunities for employees.

Activities include: identifying and analysing training and development needs; identifying and evaluating ways of meeting these needs; developing/selecting training and development programmes; monitoring take-up of training and development programmes; collecting and analysing feedback on training and development programmes; measuring the impact of training and development programmes.

For equality and diversity training, use EQUALITY & DIVERSITY MANAGEMENT - EQUALITY & DIVERSITY TRAINING.

For health and safety training, use HEALTH & SAFETY - HEALTH & SAFETY INFORMATION, INSTRUCTION & TRAINING PROVISION.

This activity is intended to cover general personal and professional training and development for employees, and job-specific training for defined categories of employees. It is NOT intended to cover 'user training' (e.g. for specific internal systems or services) or other training which is an integral part of a function and activity covered elsewhere in this Business Classification Scheme (e.g. training on health and safety procedures).

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records containing summary information on workforce training and development needs. For records documenting individual employees' training and development needs, see Employee Contract Management.		CDSAP if involved, otherwise creating area	Current year + 5 years	JISC	Review	
Records documenting the development of training and development programmes to meet defined needs.		CDSAP if involved, otherwise creating area	Completion of programme + 5 years	JISC	Review	
Records containing individual feedback on training and development programmes.	Feedback forms	CDSAP if involved, otherwise creating area	Completion of analysis of feedback	JISC	CW / D	
Records documenting (anonymised) workforce feedback on training and development programmes.		CDSAP if involved, otherwise creating area	Current year + 5 years	JISC	R / D	
Records documenting management analyses of the impact of training and development programmes.		CDSAP if involved, otherwise creating area	Current year + 5 years	JISC	Review	

Workforce Welfare Management

The activities involved in monitoring employee welfare and ensuring compliance with legislation.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting the hours worked by employees, including those who have agreed to work more than 48 hours a week, as required by the Working Time Regulations 1998 (SI 1998/1833).	Timesheets Overtime sheets	Finance Office	Date of record + 2 years	SI 1998/1833 Regulations 5 and 9	CW	Where this information is collated and supplied per department, individual staff timesheets should be retained locally
Records documenting health assessments for night workers, and the results of assessments, as required by the Working Time Regulations 1998 (SI 1998/1833).			Date of record + 2 years	SI 1998/1833 Regulations 5 and 9		

INFORMATION & COMMUNICATION TECHNOLOGY (ICT) SYSTEMS

The function of managing the institution's information and communications technology (ICT) systems.

****Where they are involved, the area responsible is Information Services. Where they are not involved, the creating department is responsible****

ICT Systems Development

The activities involved in developing new ICT systems and re-developing existing systems.

Activities include: specifying requirements; evaluating potential systems/solutions; installing systems; testing systems; commissioning systems; controlling changes to systems; decommissioning systems.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting the initial development and post-implementation modification and maintenance of ICT systems.	Interzone Network maps Network configuration Welsh Video Network files		Life of system + 5 years	JISC	CW / D	E-mails generated by Interzone should be deleted by the recipient as appropriate For subsequent user support, use ICT Systems User Support
Records documenting the initial development of ICT systems which are not implemented.			Last action on development + 5 years	JISC	R / D	
Records documenting the management of ICT systems development projects (i.e. project management records).	Development proposals		Last action on project + 5 years	JISC	CW / D	

ICT Systems Operations Management

The activities involved in operating ICT systems.

Activities include: monitoring system performance; reporting, investigating and resolving system faults; managing system data storage, including backup, migration, archiving and deletion; maintaining appropriate system software licences.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting the routine monitoring and testing of the operation of ICT systems, and action taken to rectify problems and optimise performance.	Network alerts Log files		Current academic year + 2 years	IS	R / D	Includes web pages and network monitor Log files are automatically wiped after 6 months
Records documenting faults reported by users of ICT systems, and action taken to investigate and resolve the problem.	Records on Sunrise Job sheets E-mails sent to postmaster@aber.ac.uk Voyager incident reports and user queries		Fault resolution + 1 year	RM	CW / D	Includes printouts from Sunrise
Records documenting the management of system data storage, including the operation of routine data backup, archiving and deletion routines.			Current academic year + 1 year	JISC	CW / D	
Records documenting user requests to recover data from backup tapes, and action taken.			Last action on request + 1 year	RM	CW / D	
Records documenting the maintenance of appropriate software licences for live ICT systems.	Campus agreement License agreements	Receiving department	Superseded + 1 year	RM	CW / D	
Records documenting the ICT systems and software used - including functional and technical specifications.	System and software specifications System and software manuals	Creating / operating area	Until superseded + 2 years	RM	CW / D	

ICT Systems Security Management

The activities involved in managing access to, and use of, the institution's ICT systems.

Activities include: opening and closing system user accounts; monitoring use of systems to ensure compliance with institutional policies and relevant legislation; responding to security breaches or incidents; sanitisation of ICT hardware before disposal.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting the security arrangements for ICT systems.	SSL certificate requests		Decommissioning of system + 5 years	JISC	CW / D	
Records documenting the opening, maintenance and closure of user accounts for ICT systems.	Visiting staff / student registration forms Club / Society registration form Remote user registration form Special / Non AU registration form Distance learner registration form Mail forwarding authorisation forms JANET proxy authorisation forms Requests for conversion to staff domain Requests for access to AstRA		Account expiry + 1 year	RM	CW / D	
Records documenting routine monitoring of the use of ICT systems to ensure compliance with legal requirements and institutional policies.	Cases of misuse of IS facilities		Current year + 6 years	RM	CW / D	Case information will also be held by HR / Academic Office
Records documenting attempted or actual security breaches of the institution's ICT systems, and action taken.			Last action on incident + 6 years	RM	CW / D	
Requests for, and authorisation of, connections of third party equipment to the institution's			Termination of connection + 1 year	JISC	CW / D	

networks, either on institutional premises or via dial-up communications links.						
Records documenting arrangements for the sanitisation of institutional ICT equipment prior to disposal.		Data Protection Manager	Disposal of equipment + 1 year	JISC	CW / D	

ICT Systems User Support

The activities involved in providing support for users of the institution's ICT systems.

Activities include: identifying training requirements; identifying and evaluating training options. For external training, activities include: identifying and evaluating training programmes; organising attendance at training events; evaluating training programmes/events. For internal training, activities include: developing training programmes; organising and arranging training events; delivering training; evaluating training programmes/events.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting user requests for technical and application support, and assistance provided	E-mails to advisory@aber.ac.uk Call log Clinic appointments JISC Regional Support Centre files Frequently Asked Questions (FAQs)		Current academic year + 1 year	RM	D	Regional Support Centre files are automatically deleted by JISC
Records documenting the delivery of technical and application training for ICT systems	Course register		Current academic year + 4 years	RM	R / D	

INFORMATION MANAGEMENT AND COMPLIANCE

The function of managing the information resources generated or acquired by the institution in the course of its work, and ensuring that the institution complies with associated legislation.

Copyright Compliance

The activities involved in complying with the Copyright, Design & Patents Act 1988.

Activities include: monitoring copying activities and taking part in surveys undertaken by any of the licensing agencies (e.g. the CLA); providing statistics as required by licensing agencies; obtaining permission to copy material outside the scope of existing licenses; assisting in inspections by copyright licensing agencies.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting applications for permission to copy material	Copyright declaration forms	Copyright Manager	Last action on application + 6	Limitation Act 1980	CW	
Records relating to surveys or audits undertaken by licensing agencies		Copyright Manager	Completion of subsequent audit	CM	R / D	
Records relating to reporting under the CLA Licence		Copyright Manager	Current year + 6 years	CM	R / D	

Data Protection (DP) Compliance

The activities involved in complying with the Data Protection Act 1998

Activities include: notifying details of the institution's data controller to the Information Commissioner; handling requests for personal information held by the institution.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting the handling of requests for access to personal information held by the institution under the Data Protection Act 1998 (c. 29).	Data Subject Access forms and associated case files	Data Protection Manager	Last action on request + 6 years	Limitation Act 1980	CW / D	
Records documenting the institution's	Notification forms	Data Protection	Superseded + 6 years	Limitation	R / D	Notification must be

notification of data controller details (to be added to the public register of data controllers) to the Information Commissioner's Office, as required by s 2 of the Data Protection Act 1998 (c. 29).		Manager		Act 1980		renewed annually to maintain an entry in the public register of data controllers.
Records containing (anonymised) statistics, analyses and reports of requests for access to personal information held by the institution under the Data Protection Act 1998 (c. 29).		Data Protection Manager	Current year + 10 years	JISC	Review	

Freedom of Information (FOI) Compliance

The activities involved in complying with the Freedom of Information Act 2000 ('the Act').

Activities include: developing, publishing and maintaining the institution's Publication Scheme; handling requests for information held by the institution.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting the handling of requests for information held by the institution, made under the Act (c. 36).	Request log Request case files	Records Manager	Last action on request + 6 years	RM	Review	Records (or information extracted from them) relating to cases which lead to an internal review / complaint to the ICO, or changes in policy or procedure, may need to be retained for longer
Records documenting the development and maintenance of the institution's Publication Scheme, as required by the Act (c. 36).	Submission to the Information Commissioner's Office Publication Scheme	Records Manager	Completion of revision of scheme + 5 years	JISC	R / D	
Records containing (anonymised) management statistics, analyses and reports of requests for access to information held by the institution		Records Manager	Current year + 10 years	JISC	Review	

under the Act						
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Environmental Information Compliance

The activities involved in complying with legislation on access to environmental information (Environmental Information Regulations 2004)

Activities include: handling requests for environmental information held by the institution.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting the handling of requests for environmental information held by the institution, made under the Environmental Information Regulations 2004 (SI 2004/3391)	Request log Request case files	Records Manager	Last action on request + 6 years	RM	Review	
Records containing (anonymised) management statistics, analyses and reports of requests for environmental information held by the institution, made under the Environmental Information Regulations 2004 (SI 2004/3391)		Records Manager	Current year + 10 years	JISC	Review	

Information and Records Management

The activities involved in managing the institution's records and information in any medium and format including paper and electronic documents, electronic databases, data in electronic systems and audio-visual materials.

Activities include: determining recordkeeping requirements for individual business activities and processes; devising and conducting information surveys; developing classification and indexing schemes; controlling appropriate storage and access to records; identifying requirements to retain records and developing records retention schedules; authorising disposal of redundant records.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting recordkeeping requirements for specific business activities and processes.	Business process maps	Records Manager	Superseded	JISC	CW / D	
Records documenting the conduct and results of	Information audit forms	Records Manager	Completion of	JISC	CW / D	

records surveys/audits.			subsequent survey/audit			
Records documenting classification and indexing schemes for records.	Business classification scheme File plans Metadata schemes	Records Manager	Superseded + 5 years	JISC	R / D	
Records documenting storage locations of records.	Location guides	Records Manager	Superseded	JISC	CW / D	
Records documenting the movement of records to storage.	Transfer sheets	Records Manager	Transfer + 1 year	JISC	CW / D	
Records documenting the provision of access to records.	File retrieval requests File loan forms	Records Manager	Date of access + 1 year	JISC	Review	
Records documenting the determination of retention periods for records.		Records Manager	Until superseded + 6 years	RM	CW / D	
Final versions of Records Retention Schedules		Records Manager	Permanent	JISC	Archive	Retaining a history of retention periods provides evidence of effective control of records and the basis for disposal of records.
Records documenting the review of individual records to determine requirements for ongoing retention		Records Manager	Life of records + 6 years	JISC	CW / D	
Records documenting authorisation for the disposal of redundant records.	Disposal authorisations	Records Manager	Disposal of records + 25 years	JISC	CW / D	

LIBRARY SERVICES & COLLECTIONS MANAGEMENT

The function of managing collections acquired to support the institution's work, and managing services to support their accessibility and use.

****The area responsible is Information Services unless otherwise stated****

Archives Management

The activities involved in managing the institution's archival collections.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting the development and establishment of the selection criteria for records to be preserved as archives.	Collection policies	Records Manager if involved, otherwise creating department	Permanent	JISC	Archive	
Records documenting the accessioning of records acquired for preservation as archives.	Deposit agreements Accessions register	Records Manager if involved, otherwise creating department	Permanent	JISC	Archive	
Records describing the arrangement and contents of archival collections.	Archives catalogues Box lists	Records Manager if involved, otherwise creating department	Permanent	JISC	Archive	
Records relating to 3rd party hosting of access to archive catalogues and descriptions e.g. Archives Hub	Records on Archives Hub	Records Manager if involved, otherwise creating department	While catalogue is available	RM	Review	
Records documenting requests for access to archives or information about the collections.		Records Manager if involved, otherwise receiving department	Last action on request + 1 year	JISC	CW / D	
Records documenting conservation work undertaken on items in the archives including transferral of material to new media		Records Manager if involved, otherwise creating department	Life of collections	JISC	R / D	

Library Collections Management

The activities involved in managing and developing the University's Library collections.

Activities include: selecting and acquiring stock, cataloguing stock, analysing the collections and their usage, appraising collections, monitoring stock, undertaking conservation work, monitoring the storage environment.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting the process of selecting material for purchase	Book requests Journal requests Module reading lists		Current year + 1 year	RM	R / D	Includes e-mails generated from ARMS
Records documenting the withdrawal and disposal of redundant publications	Authorisation		Current year + 1 year	RM	R / D	
Collection catalogues	Voyager item records		While current	RM	D	
Records documenting the monitoring and control of storage conditions	Thermohygrograph readings		Current year + 1 year	JISC	R	
Records documenting conservation work undertaken on publications			Life of publication	RM	Review	
Records detailing document delivery requests and returns	Store requests Distance learner requests		Current year + 1 year	RM	R / D	
Records relating to the monitoring of library stock	Mislaid item forms Claimed returned forms		Current year + 1 year	RM	R / D	
Accession records			Life of item / collection	RM	Review	Includes Voyager records
Records relating to the analyses of the usage of the library and its materials	Checkpoint statistics		Completion of analyses + 3 years	RM	Review	

Library Service Management & Delivery

The activities involved in managing and delivering Library services.

Activities include: promoting Library services, supporting curriculum development, providing access to Library collections, dealing with enquiries, issuing materials, providing access to external resources, developing and delivering information skills training.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records relating to access to external web-based resources	E-resource licenses		End of agreement + 6 years	Limitation Act 1980	R / D	
Records relating to the registration of Library patrons	Registration cards Visitors' reference use forms Extension of access forms (i.e. postgraduates who are writing up) IS access forms Reference use application forms Temporary withdrawals forms Permanent withdrawal forms		End of registration period + 1 year	RM	CW	Registration cards are retained off-site for 6 years
Records relating to the registration of individuals in regional consortia schemes	UK Libraries Plus application forms SCONUL Research Extra application form		Expiry + 1 year	RM	CW	
Records relating to incoming and outgoing Inter-library loans	Interlibrary loan request forms ILL database		Current year + 7 years	British Library requirement	CW / D	
Records relating to notifications of overdue library items	Overdue notices		Expiry of student registration	RM	D	

MANAGEMENT INFORMATION COLLECTION, ANALYSIS & REPORTING

The function of collecting and maintaining management information and of producing management information reports for internal use.

****Where they are involved, the area responsible is MIS, Information Services. Where they are not involved, the creating department is responsible****

Management Information Collecting

The activities involved in collecting and maintaining management information.

Activities include: receiving data from external organisations for information or further processing; specifying internal data to be submitted for central collation and maintenance; creating and maintaining corporate data sets.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Dataset specifications and protocols for submission and collation of data.			Superseded + 1 year	JISC	Archive	If datasets are archived, dataset specifications and protocols should be archived with them.

Management Information Analysis & Reporting

The activities involved in analysing management information and producing reports.

Activities include: producing standard, routine analyses and reports; producing customised, ad hoc analyses and reports to meet individual requirements.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Management information reports	Report specifications and output	Creating / Requesting department	Current year + 3 years	JISC	Review	

PROCUREMENT

The function of purchasing goods, works and services from external organisations.

****Where they are involved, the person responsible is the Procurement Manager. Where they are not involved, the creating department is responsible****

***** Where electronic tendering has been used, additional hardcopies of the tender documentation and the bid submissions by tenderers are not needed.**

Purchasing

The activities involved in purchasing goods, works or services for the institution without tendering contracts.

Activities include: setting purchasing authorisation limits; authorising purchasing; obtaining quotations or estimates; ordering (including purchasing cards); receiving and checking that goods, works or services are delivered as required.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting internal authorisation for purchasing	Purchase requisitions Purchasing card application forms		CY + 6 years	RM	CW	
Purchase orders (including those generated on QL) and purchasing card transaction records	Purchase order books Purchasing card transaction logs & receipts.		CFY + 6 years	1980 c. 58 s 5 HMRC 700/21 para. 5.2	CW	
Goods Received Notes / Goods Inwards Notes			CFY + 6 years	1980 c. 58 s 5 HMRC 700/21 para. 5.2	CW	
Records documenting purchasing authorisation limits (including purchasing cards).	Authorised amendments to purchasing card user profiles	Finance Office	Superseded + 1 year	JISC	CW	

Supplier approval

The activities involved in approving organisations or individuals as suppliers of goods, works or services to the institution.

Activities include: issuing invitations to apply for approval; evaluating applications for approval; notifying applicants of evaluation outcomes; maintaining relationships with approved suppliers.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Supplier database / lists / details			While current	JISC	CW	Includes supplier records on Voyager
Records relating to the maintenance of supplier relations	Supplier correspondence		CY + 6 years	RM	CW / D	

Supply Contract Management

The activities involved in managing contracts for the supply of goods, works or services to the institution.

Activities include: monitoring supplier performance and taking appropriate action to deal with under-performance; handling complaints/disputes with suppliers; managing the transition of work to/from suppliers, where suppliers change.

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting variations to contracts (e.g. revisions, extensions).			Termination of contract + 6 years	1980 c. 58 s 5	CW / D	
Records documenting the monitoring of supplier performance and action taken regarding under-performance.			Termination of contract + 6 years	1980 c. 58 s 5	CW / D	
Records relating to the day-to-day management of contracts	Correspondence		Termination of contract + 1 year	RM	CW / D	

Supply Contract Tendering

The activities involved in tendering contracts for the supply of goods, works or services to the institution.

Activities include: preparing Invitations to Tender (ITT); defining tender evaluation and selection criteria; issuing ITTs; controlling the receipt and opening of tenders; evaluating tenders; negotiating and awarding contracts; reporting and publishing information about contracts awarded (e.g. in the Official Journal of the European Community).

Record group	Example record series	Area / person responsible	Recommended retention	Authority	Final action	Notes
Records documenting the process of inviting and	Pre-qualification		Award of contract +	JISC	CW	

evaluating pre-qualification submissions from prospective suppliers.	questionnaire Financial appraisal PQQ evaluation scores		1 year			
Records documenting Invitations to Tender /Quote and tender evaluation criteria.	Invitations to Tender / Quote Specification Contract award criteria HoD approval for single-source quote Tender Management Process Control Sheet		Termination of contract + 6 years	1980 c. 58 s 5	CW	
Records documenting the issue of Invitations to Tender / Quote and handling of incoming tenders / quotes.	Tender envelopes Tender opening sheet Quotation(s) Registrar's delegation of authority to open tenders over £100K Notification of non-acceptance of late bid Director of Finance / Estates		Termination of contract + 6 years	RM	CW	

	approval if fewer than 3 tenders obtained					
Records documenting the evaluation of tenders, the conduct of negotiations with tenderers and the notification of the results of the tender evaluation process: rejected tenders	Financial appraisal Record of officer who checked tenders for accuracy, etc Bid evaluation scores Regret letter (includes mandatory standstill notice - for EU tenders only) Tender debriefs		Award of contract + 1 year	JISC	CW	
Records documenting the evaluation of tenders, the conduct of negotiations with tenderers and the notification of the results of the tender evaluation process: accepted tenders.	Financial appraisal Record of officer who checked tenders for accuracy, etc Bid evaluation scores Registrar's authority if contract awarded based on other than lowest price Director of Finance approval to proceed for contracts over £200K Award letter (includes mandatory standstill notice - for EU tenders only) / Form of Contract Copy purchase order		Termination of contract + 6 years	1980 c. 58 s 5	CW	

Contract award notices sent to the Official Journal, as required by Regulation 31 of the Public Contracts Regulations 2006 (SI 2006/5 - as amended from time to time).			Termination of contract + 6 years	1980 c. 58 s 5	CW	
Records documenting contracts awarded, containing the information specified in Regulation 32 (14) of the Public Contracts Regulations 2006 (SI 2006/5 - as amended from time to time).			Until superseded	RM / Procurement Manager	CW	These are summary records of each contract awarded and retention of these for a longer period than the complete contract 'files' provides evidence of effective and compliant procurement practice over time.
Statistical and other reports on contracts awarded prepared for the Office of Government Commerce, as required by Regulation 40 of the Public Contracts Regulations 2006 (SI 2006/5 - as amended from time to time).			CY + 3 years	JISC		