

SUPPORTING INSTITUTIONAL RECORDS MANAGEMENT

A JISC-FUNDED PROJECT

A RECORDS LIFECYCLE FOR PLANNING AND STRATEGY FUNCTIONS

UNIVERSITY OF EDINBURGH

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MANAGEMENT SUMMARY

1. This is a report of a JISC-funded project to produce a retention schedule for the strategic planning records of the University of Edinburgh. The schedule itself is at Appendix Four of this document; the information map on which it is based is at Appendix Two and a description of the methodology used is at Appendix One.
2. The project also looked at the issues involved in implementing the schedule. The most significant of these are:
 - The absence of formal recordkeeping structures in the University's schools and colleges, combined with a lack of knowledge about the records that these bodies inherited from their predecessors. It is essential that the University establish control over its information before freedom of information legislation comes fully into force on 1 January 2005.
 - The extensive use of e-mail and websites for the creation and dissemination of records and, therefore, the need to set up recordkeeping systems suitable for both paper and electronic information.
 - The need for user support and training when introducing functional records management as users may not relate to it initially.
 - The importance of high-level support for ensuring that the implementation of records management measures receives the necessary staff time and attention.
 - The resource implications for the University Archive of the need to accession, catalogue, preserve and make accessible recent business records in paper and digital formats.
3. The University intends to use the schedule as one of a number of tools made available to the University's staff to help them to introduce records management to their area as part of the University's preparations for the implementation of the Freedom of Information (Scotland) Act 2002.
4. The project also tested the applicability of the JISC *Study of the Records Lifecycle* model to the University's planning functions and records. It found that there was some similarity, but that the functions and activities identified in the JISC *Study* do not map directly across to the functions and activities identified in the University. Experience from other HE institutions will be necessary to establish whether this is a general phenomenon or an Edinburgh-specific issue.

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INTRODUCTION

5. This report is the product of a six-month project funded under JISC circular 9/02, *Supporting Institutional Records Management*.
6. The project tested the practical application of the planning and strategy-related themes in the *Study of the Records Lifecycle* (http://www.jisc.ac.uk/index.cfm?name=srl_structure) by developing and planning the implementation of a retention schedule for planning and strategy records created throughout the University of Edinburgh.
7. The *Study of the Records Lifecycle* is a high-level business function and activity model and retention schedule for the UK university sector commissioned by JISC. The first edition was issued in 1999, and a substantially revised edition in April 2002, just before work on this project began.
8. The report contains three of the four principal deliverables from the project:
 1. A map of the strategic and planning functions, activities and transactions carried out throughout the University, including details of the type, format and location of the records produced by these activities
 2. A detailed generic retention schedule for these records, irrespective of their media
 3. A project report which describes the methodology used to generate the retention schedule, gives feedback on our experience of applying the *Study of the Records Life-Cycle* and of introducing university-wide records management procedures for the first time, and examines the issues associated with the implementation of the schedule.
9. The fourth deliverable from the project, external dissemination tools, has been provided by making this report available on the University of Edinburgh's records management website at:
http://www.recordsmanagement.ed.ac.uk/Info_for_staff/RM_for_staff/RM_projects/JISC_planning_functions_project.htm.
10. At the JISC project meeting held in Bristol on 23 June 2002, it was agreed that JISC would co-ordinate any other external dissemination activities; subject to staff availability, the University of Edinburgh will participate in these as required.

The University of Edinburgh

11. The University of Edinburgh has a student population of around 20,000 and employs some 6,600 staff located in over 200 buildings spread throughout the city. It is one of the largest unitary non-collegiate universities in Britain, covering as wide a range of academic disciplines as any British university. Its academic structure consists of twenty-one schools grouped into three colleges: Humanities and Social Science, Medicine and Veterinary Medicine, and Science and Engineering. These colleges have substantial devolved responsibilities and, in size, are similar to some smaller UK universities. For management purposes, the schools are sub-divided into groups.

12. The University's support services are structured into three groups: the Information Services Group (including computing, library, and learning & technology services); the Administration, Communication & Student Services Group (comprising the central corporate and academic administration, planning, registry, student services, internal and external communications, schools and college liaison and international activities); and a group under the Director of Corporate Services (covering finance, personnel, estates, management information services and commercial and quasi-commercial activities).
13. In 2002 the University decided to establish a Records Management Section, responsible for data protection, records management and freedom of information. The Section is based within the Administration, Communication and Student Services Group.
14. The devolved nature of the University's structure means that it would be inappropriate and impractical to impose a centralised records management system across the University. This would be alien to the cultural environment and would entail introducing systems and procedures which were not tailored to the needs of individual business units. Therefore, the University's Records Management Section provides university-wide standards, guidance, co-ordination and support which are capable of customisation for use in each area. It is the responsibility of individual business units to develop and maintain systems and procedures for their areas.

PROJECT SCOPE

15. The project examined the top-level generic findings of those sections of the JISC *Study of the Records Lifecycle* relating to planning and strategy to test their applicability to a vertical cross-section of the University of Edinburgh.

Project objectives

16. The project objectives were:
- To analyse the activities and transactions carried out under strategic and planning functions throughout the university
 - To map the type, format and location of the records produced by these activities
 - To produce a detailed generic retention schedule for these records, irrespective of their media
 - To pilot the implementation of the retention schedule
 - To identify the issues associated with the implementation of the schedule, under the headings of organisational, cultural, training, technological and resource issues.
17. We anticipated that the project would identify further requirements, such as the need to modify or acquire IT systems, which meant that the draft retention schedule would not be fully implemented within the University during the time scale of this project.

Subject scope

18. We selected planning and strategy functions because:
- These records include some of the University's core records in terms of accountability for decisions.
 - These functions will generate a relatively high proportion of records worthy of permanent preservation in the University archive. We need to intervene as early as possible in the life cycle of these records to ensure their survival with appropriate metadata, particularly when dealing with electronic records.
 - We believe that this will be an area of particular interest to a wide range of enquirers when freedom of information legislation comes into force.
19. When the project proposal was put together, the current version of the *Study of the Records Lifecycle* was the first edition. However, in the interval between submitting the proposal and the start of the project, a second edition of the Study was published. The second edition is significantly different from the first, both in terms of structure and the functions it identifies.
20. Therefore, at the project proposal stage it was anticipated that the relevant sections in the first edition *Study* would be:

- 1.1 Training and learning strategy development
- 1.3 Curriculum development
- 1.4 Course development
- 3.1 Strategic planning
- 3.2 Strategic performance management
- 3.4 Organisational development

3.5 Competitor monitoring

21. When more detailed analysis was carried out, it transpired that there was little relationship between strategic planning and planning for teaching and learning, so the latter was ruled outside the scope of the project. It also emerged that the University does not carry out competitor monitoring in any systematic way, so this was also outside the scope of the project.
22. The organisational development function was mapped as part of the first phase of the project, but it was found that it had no direct relationship with strategic planning functions, and so it was excluded from the later stages of the project.
23. These findings confirm the approach adopted in the second edition of the *Study*, where strategic planning and organisational development are separate functions (sections 15 and 24 respectively) and competitor monitoring does not feature at all.
24. This project focuses on section 15 of the second edition *Study*, strategic planning and performance management. This is defined as, ‘the function of developing and establishing the institution’s overall strategy, developing its strategic plan and managing its overall performance against the plan’.

Organisational scope

25. The project adopted a cross-institutional, functional approach. Starting with the records generated by the central Planning Section, the project then examined the planning and strategy process at the college and school level, and, finally, at the group level within schools.

PROJECT METHODOLOGY

Project structure

26. The University Records Manager, supported by the Assistant Records Manager, managed the project. The core project team consisted of the University Records Manager, the Assistant Records Manager, the Senior Administrative Officer from the University Planning Section, the Resources Administrator of the College of Humanities and Social Science, the Administrator of the Management School and Economics and the Administrative Officer responsible for MBA programmes and executive education.
27. The project also received input from the University Archivist. This meant that the project involved not only representatives from the academic schools and colleges, but also staff from two of the University's three support services: the University Archivist from the Information Services Group, and staff from the central Planning Section and Records Management Section, both within the Administration, Communication & Student Services Group. A senior member of Management Information Services, part of the University's Corporate Services Group was available for participation in the project, but their input was not required.
28. The project was overseen by the University's Freedom of Information Working Group, which received progress reports at each of its meetings while the project was in progress.

Project processes

29. The project involved five principal stages:
 1. An analysis of the functions and processes carried out as part of the University's strategic and planning functions to produce a map of the type, format and location of the records produced by these activities.
 2. Assignment of retention periods to these records to produce a retention schedule.
 3. Assessment of the organisational, cultural, training, technological and resource issues involved in implementing the schedule, and planning for its implementation.
 4. Performance of an internal evaluation of the project. This stage is explicitly excluded from the JISC call, and no further information on this will be provided in this report. The evaluation will take the form of a paper presented to the next meeting of the University's Freedom of Information Working Group, probably January 2004.
 5. Dissemination of the findings within the University and to the wider HE/FE community. The project findings are available on the University of Edinburgh's records management website (http://www.recordsmanagement.ed.ac.uk/Info_for_staff/RM_for_staff/RM_projects/JISC_planning_functions_project.htm). Subject to staff availability, the University of Edinburgh will participate in any other wider dissemination activities proposed by JISC.
30. The remainder of this report will describe the University's experience and findings for stages 1-3.

THE MAPPING PROCESS

31. The University’s information map for the planning and strategy functions and an associated commentary, both compiled by the Assistant Records Manager, are at Appendix Two.

Methodology

32. The methodology used to develop the functional and informational map was based on the IDEF (0) methodology adopted by the InterPARES project on the long-term preservation of authentic electronic records (<http://www.interpares.org/>). Further information on the IDEF(0) methodology is available in Robert P Hanrahan, *The IDEF Process Modelling Methodology* (1995), (<http://www.stsc.hill.af.mil/crosstalk/frames.asp?uri=1995/06/IDEF.asp>). Appendix One contains a guidance note on the use of this methodology for records management purposes.
33. We first identified the high-level functions associated with strategic planning, and we then decomposed these into activities and transactions, generating new, child maps for each stage in the decomposition. At the lowest level of granularity we identified the types of records produced by these transactions.
34. To develop the map we held regular meetings of the project team at which team members described aspects of the planning process from their perspective. From these discussions the Assistant Records Manager developed draft maps which were revised and refined in the light of further discussions and consultation with team members.

Relationship with the *Study of the Records Lifecycle*

35. Our initial intention was to use the relevant section from the *Study of the Records Life-Cycle* as the starting point for the mapping process. This identifies the following activities under the overall heading of ‘strategic planning and performance management’:

15.1	Strategic planning and performance management policy development	The activities involved in developing and establishing the institution’s strategic planning and performance management policies
15.2	Strategic planning and performance management procedures development	The activities involved in developing the institution’s strategic planning and performance management procedures
15.3	Strategy development	The activities involved in developing the institution’s corporate strategy development and planning policies
15.4	Strategic planning	The activities involved in developing the institution’s strategic plan
15.5	Strategic performance management	The activities involved in monitoring the institution’s overall performance against the strategic plan, reviewing under-achievement

		to inform the ongoing development of the strategy and strategic plan
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36. However, when presented with the functional activity model for strategic planning and performance management, the project team did not recognise the functions it identified.
37. Instead they identified the following high-level planning functions:
- Agreeing strategic priorities
 - Managing the planning process
 - Negotiating resources
 - Data analysis
 - Producing the annual plan
 - Producing the strategic plan
 - Monitoring progress
 - An eighth function, organisational development, was identified at this stage but omitted from the scope of the remainder of the project as it does not have a direct relationship with the strategic management functions.
38. Some of these new functions can be mapped across to the JISC model, as follows:

Edinburgh function	JISC reference
Agreeing strategic priorities	15.4
Managing the planning process	15.2
Negotiating resources	15.4
Data analysis	
Producing the annual plan	15.4
Producing the strategic plan	15.4
Monitoring progress	15.5

39. However, there is no equivalent in the University of the model activities, ‘strategic planning and performance management policy development’ (15.2), or ‘strategy development’ (15.3), while the current model activity, ‘strategy development’ encompasses a large number of activities. One of the most significant of these is negotiating resources, as the development of the University budget, and its modification during the year, is a core part of the planning function. There is no provision for this function in the *Study*.
40. The model also makes no provision for the substantial amount of data analysis that is carried out to provide management information to support the planning function.

Other findings

41. The mapping process identified a number of issues which will affect the implementation of the retention schedule. These are identified in the Information Map Commentary in Appendix Two, and are followed up in the section of this report about the implementation of the retention schedule.

THE RETENTION SCHEDULE

42. The University's retention schedule for planning and strategy records is at Appendix Four.

Methodology

43. The records identified during the mapping process were listed in a spreadsheet compiled by the Assistant Records Manager. A further series of meetings were then held to identify who held copies of these records and for how long they were needed. The spreadsheet was then amended and discussed further until all parties agreed with it. The final version of this can be found at Appendix Three.
44. The records were then extracted from the spreadsheet and organised under the following headings:
- Committee records which contain planning information
 - Core records which contain planning information
 - Developing strategic priorities
 - Managing the planning process
 - Developing the budget
 - Monitoring progress
 - Financial monitoring by colleges and schools
 - Data analysis
45. These headings are similar to the principal planning functions identified under the mapping exercise. The differences in the two arise from the nature of the records themselves, for example, the same records are used in agreeing strategic priorities, producing the annual plan and producing the strategic plan, therefore, these records have been brought together under the heading 'developing strategic priorities'.
46. The draft retention schedule was circulated to the core team, and to the University Archivist for comment, and revised in the light of the comments received.

Key findings

47. A number of the core records of the planning process have a wider significance for the University, as they are the minutes and papers of core decision-making bodies at college and University level. Although retention periods have been suggested here for these records, the decision-making process for agreeing these periods is different from that for the other records in the schedule. It is highly probable that these records will feature as key records for most University functions, so, for the sake of clarity, their retention period should be agreed before any other functions are scheduled.
48. Many of the records identified in the schedule are duplicated throughout the University, and, in a number of cases the schedule prescribes different retention periods for the same record, depending on who is holding the copy concerned. In the current recordkeeping environment this duplication is necessary to ensure that everyone who needs one has access to a copy of the information. This sort of duplication is sometimes acceptable under a functional recordkeeping model if the

different holders of the information may be carrying out different functions. However, in the long-term intranets, the Internet and electronic records management systems should be used to reduce this duplication.

49. One of the objectives of this project was to test the application of vertical functional analysis in a University environment, that is, an analysis that covers both the central administration and the hierarchy of academic units. Differences in terminology, focus and practice meant that this was more complex than would be a horizontal analysis, that is, one that deals with only one level within the hierarchy, such as central records or college records. The mapping process emphasised the extent to which the University's decision-making and recordkeeping structures are devolved and diverse. Retention scheduling initiatives based on a horizontal, rather than a vertical analysis, would probably be a more efficient way of scheduling the University's records.
50. The planning mapping showed a high dependence on centrally generated information made available on the University website. If this dependence is repeated for other functions, then a University-wide retention scheduling initiative would be most effective if the central records were tackled first.

IMPLEMENTATION ISSUES

51. At the same time as they were asked to comment on the draft retention schedule, the project team members and the University Archivist were also asked to answer a set of questions about the implications of implementing the retention schedule in their area. The questions sent to team members are in Appendix Five. The issues they identified, plus other issues already highlighted by the project are described in this section, under the headings, 'organisational', 'cultural', 'technological', 'resources' and 'training'.

Organisational

52. The University's academic structure of three colleges and twenty-one schools is new. This means that processes and structures have yet to be fixed and the planning process is constantly evolving. The planning records are spread across a number of places, including personal e-mail boxes, websites, shared drives and paper files. This has given rise to considerable duplication, difficulty in locating information, and means that some records are accessible only to one individual and would be lost if that person left. Before the schedule can be implemented, the relevant parts of the University must set up new recordkeeping structures, retrieve existing records from their current locations, add them to the new system, and identify and destroy duplicates. However, this new structure offers an opportunity to embed recordkeeping best practice as an integral part of the new organisation.
53. Where recordkeeping structures are in place, these do not reflect the structure of the retention schedule so there is a need either to set up new systems or to customise the schedule. In practice, the action taken will probably be a hybrid of the two. For example, a large number of planning records are currently made available on the Planning Section website. To implement the schedule as it stands would result in much work being required every year to amend individual web pages. Therefore, the Planning Section will use the schedule to make retention scheduling decisions for individual pages on the Section's website so that all files linked to a particular webpage are deleted at the same time. A similar approach will be taken with already extant Planning Section files.
54. The new schools and colleges do not have a full knowledge of the records that they have inherited from their predecessor bodies. This will mean that they will find it difficult to apply the retention schedule recommendations to existing records without carrying out considerable research which, in some cases, would involve an initial exercise to find the earlier records.
55. The schedule has been made as generic as possible so that it can be adopted by all the University's schools and colleges. Although the processes used as its starting point are specific to one college and one school within the college, similar records should exist in all the University's schools and colleges. However, there is a policy issue to be addressed in obtaining sign off on a generic schedule, as the head of each college and school adopting the schedule needs to approve its recommendations for their area. To address this, the schedule will be made available as a model, but it will be for each part of the University to decide whether or not they wish to adopt it, to adapt the schedule for local use, and to obtain the agreement of their head of college or school.

Cultural

56. The University's preferred methods of communication tend to be electronic, involving widespread use of the Internet, intranet and e-mail to disseminate information. However, users do not always recognise that information communicated in this way is a record. Existing recordkeeping systems are paper-based. Converting electronic information to a paper format loses functionality for users, and may be detrimental to the records' legal admissibility, as, for e-mail evidence, courts have begun to express a preference for electronic rather than paper evidence. Moreover, users accustomed to working in an electronic environment tend to forget to print paper copies for filing. Therefore, any recordkeeping system set up within the University must be suitable for a hybrid paper-electronic environment.
57. The mapping exercise demonstrated that procedures and communications within the University are highly informal. There is no systematic culture of recordkeeping, and recordkeeping is not perceived as a priority in all areas. Within this environment, there is a risk that any retention schedule will be agreed in principle but never implemented. This can only be addressed by winning high-level support for records management through demonstrating the benefits that it can offer to senior managers. Senior managers will then be in a position to support the necessary organisational and cultural changes required to implement records management successfully. The arrangements the University is putting in place to implement the Freedom of Information (Scotland) Act 2002 will assist with this process as they include the identification of senior-level promoters or champions in all the University's colleges and support groups.
58. Terminological differences and users' initial lack of identification with a functional approach (both identified during the mapping exercise) may make it difficult to ensure that the generic document is comprehensible to all members of the University. This will be addressed by working closely with users of the schedule and revising it as necessary to reflect their needs.

Technological

59. The University currently has no system in place for capturing and managing its electronic records, even though its preferred means of communication is electronic. This means that information is made available via the web with an incomplete audit trail, and that significant information is trapped in personal e-mail accounts. There are also no arrangements to delete unwanted electronic records, leading to difficulties in finding records on shared drives, overflowing e-mail boxes and significant costs for IT storage and back up procedures. Interim measures can be taken by setting up approved filing systems on shared drives and limiting the amount of personal storage space available to members of staff. In the medium term, the University is investigating the possibility of carrying out a pilot of an electronic records management system. However, even if an electronic records management system is installed, it will still be difficult to ensure that all personal copies of records, particularly e-mails, are destroyed promptly.
60. The central Planning Section have taken the University's preference for electronic communication to its logical conclusion, and use the web to store and disseminate

many of their original records. This is not a secure environment, and may be unsuitable for the preservation of important archival records. When implementing the retention schedule, there may be a need to set up additional filing structures for important electronic records, and to apply the schedule to both the website and the electronic 'files'.

61. The University Archives has no provision for the archival transfer of electronic records. The Archivist can offer advice on the preservation of electronic records *in situ* but he has no means of physically accepting, authenticating, preserving and cataloguing electronic records. Given that some of the electronic records identified in the retention schedule are only required for business purposes for two or three years, but have been selected for archival preservation thereafter, the University will need to give further consideration to its strategy for preserving its electronic archival records. This may include giving guidance on preferred formats for electronic information and on metadata standards.

Resources

62. Time pressures can prevent staff from following good recordkeeping practice, particularly if this is assigned a low priority within the organisation. Therefore, as pointed out above, it is important to gain senior-level support for the implementation of the schedule. It was estimated that it would be a three month project to set up systems to implement the retention schedule at school or college level, and that it would take longer to spread similar good best practice to other records.
63. The need to accession, catalogue, preserve and make accessible recent business records transferred to the University Archive in accordance with the retention schedule will have significant resource implications for the Archive, particularly if some of those records are in an electronic format.

Training

64. Two different levels of training requirement were identified: more detailed training for staff charged with implementing the retention schedule and general awareness raising for all affected staff to raise the profile of the issue and to explain the rationale behind the retention schedule. In addition staff would require advice on their particular situation.

Implementation plans

65. It was originally intended that measures to trial the implementation of the retention schedule would be put in place during this project. However, this plan has been superseded by other developments within the University.
66. The University plans to procure a content management system for University websites and is also considering the feasibility of piloting an electronic records management system. Such systems would address a number of the technological issues raised in this report.

67. Within the central administrative area, a consultant has been engaged to draw up a filing scheme for the Academic Affairs, Planning and Secretariat Group, within which the Planning Section is based. The implementation of the new retention schedule and the new filing scheme will, therefore, be carried forward in tandem in this area.
68. Throughout the University, preparations for the implementation of freedom of information legislation have led to the nomination of freedom of information practitioners, responsible (among other things) for setting up records management systems and procedures in their area. Implementing the retention schedule for planning records will be taken forward as part of this work. Appendix Six contains the practitioners' route map for setting up records management systems in time for 1 January 2005, when the Freedom of Information (Scotland) Act 2002 will come fully into force. The retention schedule will be made available to all the University's freedom of information practitioners as part of a package of records management training, tools and guidance to assist them in introducing records management to their part of the University.

CONCLUSION

69. This project has met its objectives to produce: a generic map of the planning functions and processes at the University of Edinburgh; a detailed generic retention schedule for the University's planning records; and an analysis of the issues associated with the implementation of that retention schedule. Although the schedule was not implemented during the lifetime of the project, measures are underway to support and promote its use throughout the University as part of a wider freedom of information initiative.
70. The timing of the project is opportune for the University as it coincides with a period when new structures, systems and procedures are being introduced. The project demonstrated that the University has a clear need to establish control over its information holdings before freedom of information legislation comes into force on 1 January 2005; this is probably the case in most UK higher education institutions.
71. The project also showed the important role played in the University by electronic means of communication such as websites and e-mails. This development has not been reflected by the University's recordkeeping systems which, where they exist, are predominantly paper-based. It is unlikely that the University of Edinburgh is the only university where this is the case. To maintain user functionality and to maximise the legal admissibility of the University's records, any records management strategy or systems developed for the University must be suitable for a hybrid digital and paper environment. This raises issues for the University's archives, which currently only has facilities for non-digital records.
72. The project was a useful pilot of a functional approach to retention scheduling within the University. It will affect how the University carries out similar initiatives in the following ways:
- Future records management initiatives within the University will adopt a horizontal rather than a vertical approach.
 - Users may experience initial difficulty in relating to a functional approach to recordkeeping, so training and support on this point is essential if a functional approach is to succeed.
 - The University's central administrative records should receive a high priority within the records management programme as they, or copies of them, are used by all parts of the University.
 - The need to accession, catalogue, preserve and make accessible recent business records transferred to the University Archive will have significant resource implications for the Archive.
73. The project's consideration of the implementation issues associated with the retention schedule showed the importance of senior-level support if a records management initiative is to succeed. The University of Edinburgh has addressed this by establishing a group of freedom of information promoters. These are senior members of staff, drawn from each college and support group within the University, who will sponsor freedom of information compliance (including records management) within their part of the University.

74. Finally, the project tested the applicability of the JISC *Study of the Records Lifecycle* model to the University's planning functions and records. It found that there was some similarity, but that the functions and activities identified in the JISC *Study* do not map directly across to the functions and activities identified in the University. Experience from other HE institutions will be necessary to establish whether this is a general phenomenon or an Edinburgh-specific issue.

Susan Graham
October 2003

APPENDIX ONE: DEVELOPING AN INFORMATION MAP

What is an information map?

As its name suggests, an information map shows the different types of information held by the University, and where this information can be found. It is derived from an analysis of the functions, activities and transactions carried out by the University.

A function is what the University does to achieve its goals and strategies. An activity is how we carry out our functions. Transactions are the individual tasks which make up activities.

Information maps will exist at different levels of detail, ranging from a high-level overview of the University's functions, to detailed listing of all the types of records created by a particular task and the flow of information between tasks.

The information map should cover records in all formats, including paper files, maps and plans, e-mail, databases, and any other electronic information.

Why do we need an information map?

The Freedom of Information (Scotland) Act 2002 places an obligation on us to respond to requests from anyone for any of the information we hold, including research information. Although we do not always have to provide the requested information, in all cases we have to say whether or not we hold it. We cannot answer these questions unless we know what information the University holds.

An information map will also provide business benefits. It will help us to locate and manage the University's information assets as for the first time we will know what information we hold and why. The information map will form the basis of retention schedules, setting out how long we should hold particular types of information, and will also provide a structure for organising our information.

The mapping process also offers benefits for other functions apart from records management. For example, it will be of use in supporting planning functions.

Who compiles and maintains the information map?

The University Records Manager will manage the highest-level information map. More detailed maps will be managed and compiled by individuals in the University responsible for carrying out the functions covered by the map, or by nominated administrators with responsibility for records management in particular business areas. As functions sometimes cross organisational boundaries, it may be necessary for staff from different sections to co-operate to draw up a joint map for particular functions.

How do I develop an information map?

For smaller, carefully delimited functions it would be possible to develop an information map using a combination of brainstorming, interviews and questionnaires.

However, for larger functional areas a more structured approach is preferable. For this we use the IDEF(0) methodology to develop a functional model. As shown in Figure 1, the model indicates major functions and the inputs (I), controls (C), outputs (O), and mechanisms (M) associated with each activity. These are collectively referred to as ICOMs.

Inputs are the resources consumed or transformed by a process. Outputs are the things created by the process. Controls are the standards, policies, guidelines, etc that guide the process. Mechanisms are the agents (people, manual tools, automated tools, etc) that accomplish the actions delineated within the process. Records and information will appear on the lower level maps as inputs or outputs.

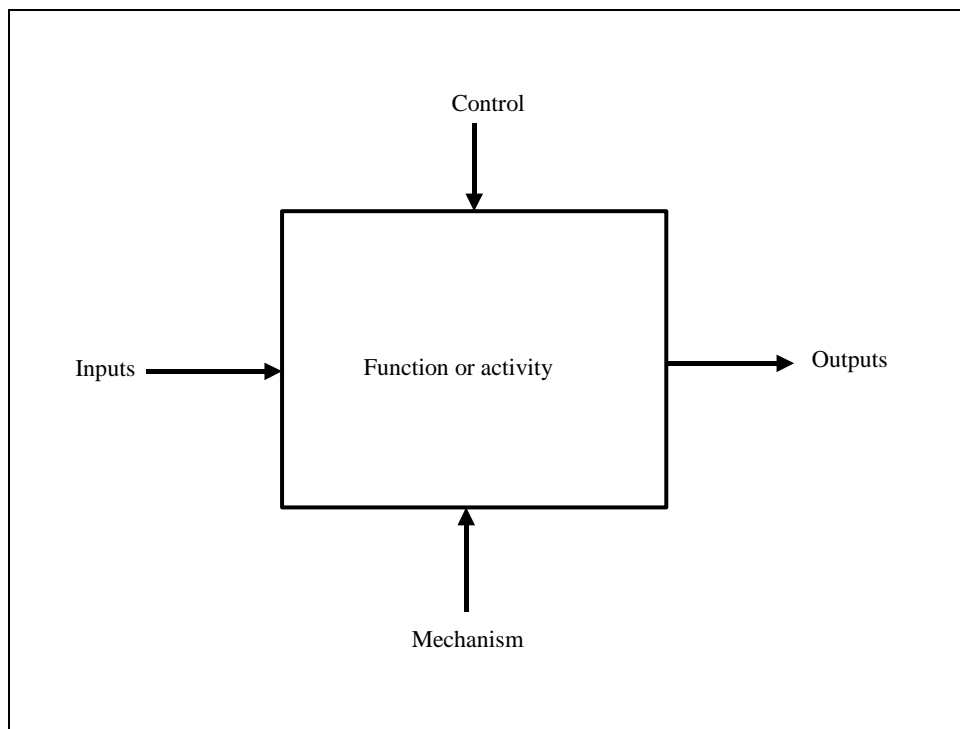


FIGURE 1: IDEF(0) METHODOLOGY

The functions are then decomposed to show lower-level activities and ICOMs. At the lowest level of granularity, the map will identify the types of information used and produced by each function. These will make up the records which should be captured to document the function concerned.

The hierarchy of diagrams is maintained via a numbering schema that connects parent and child diagrams. Figure 2¹ shows this with an A0, A1, and A12 numbering as an example.

¹ From Robert P Hanrahan, *The IDEF Process Modelling Methodology* (1995), available at <http://www.stsc.hill.af.mil/crosstalk/frames.asp?uri=1995/06/IDEF.asp>.

See http://www.inter pares.org/book/inter pares_book_n_app05ii.pdf for an example of a functional model compiled using the IDEF (0) methodology.

In developing an information map it is important to involve as many people with an interest in the area as possible, usually by inviting them to comment on the work in progress. This is to ensure that the map is fully comprehensive and covers all the situations in your business area.

Maintaining the information map

Organisations change over time, and for an information map to remain of value it must be kept up to date. It is advisable to review schedules every five years to confirm that they are still relevant. Issues to consider are:

1. Have the functions changed since the schedule was compiled?
2. Have the processes changed?
3. Has the information generated and used changed?

This programme of review is intended to identify changes which might otherwise have been overlooked. It is not intended to replace *ad hoc* updates made to the information map as and when change occurs.

If you amend your information map, a copy of the new map should be sent to the Records Management Section.

What help is available?

The University Records Management Section provides advice, guidance and training on data protection, records management and freedom of information issues. Although we cannot develop and maintain your information map for you, we can provide training on developing an information map, facilitate workshops to help you develop your information map, give you detailed advice on work in progress and serve as expert advisers on records management project boards. Copies of all final draft information maps should be sent to the Section for comment, and final information maps should be sent to the Section to help us maintain the University's overall information map.

The Joint Information Systems Committee (JISC) have prepared a high-level study of the functions and activities of universities which can be used as the starting point for preparing information maps. It can be found at:
http://www.jisc.ac.uk/index.cfm?name=recordsman_papers_cycle

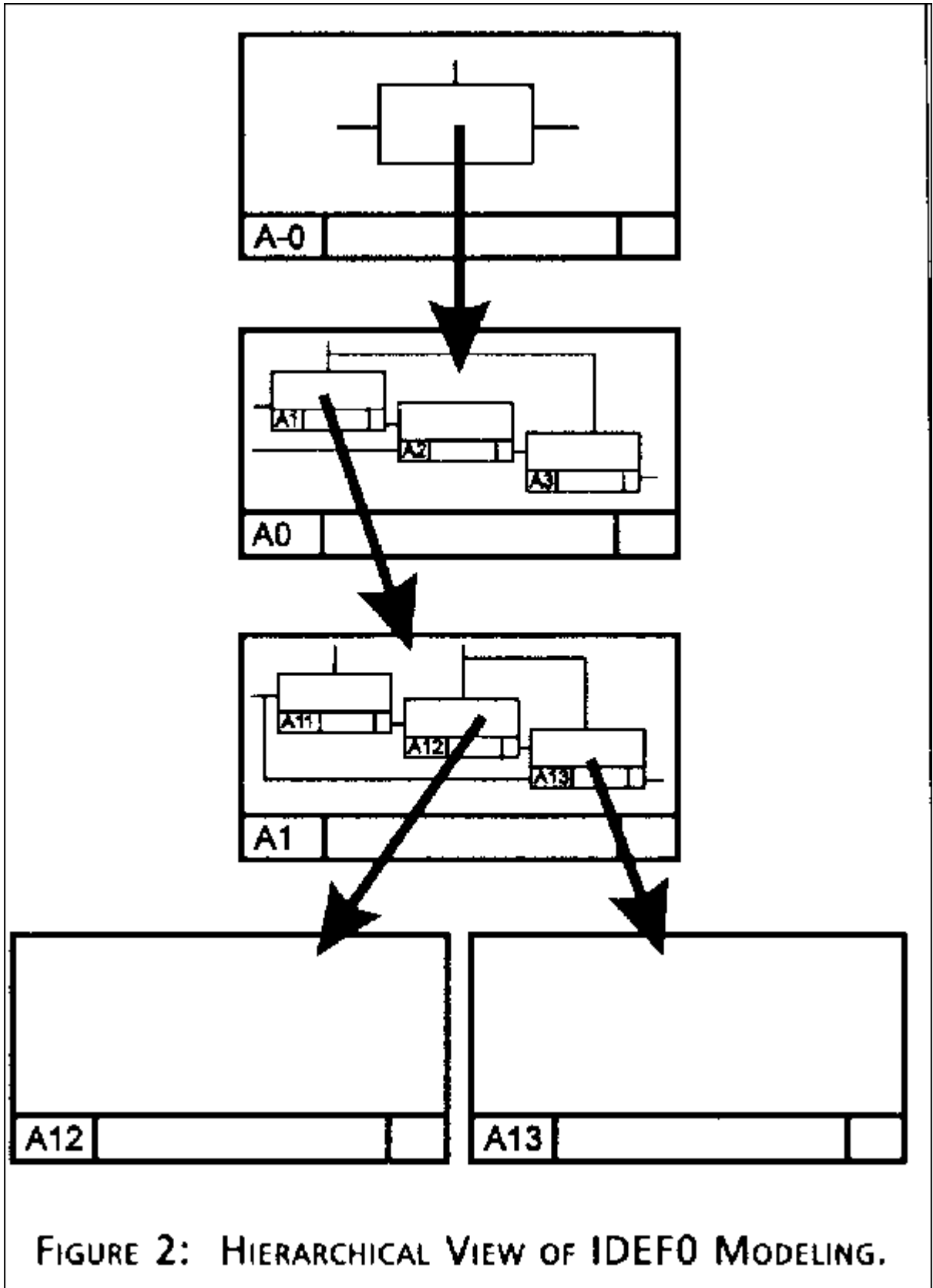


FIGURE 2: HIERARCHICAL VIEW OF IDEF0 MODELING.

APPENDIX TWO: FUNCTION AND PROCESS MAPS FOR PLANNING AND STRATEGY FUNCTIONS

Information Map Commentary

Mapping methodology

The information used to plot the information maps was gathered at meetings with the Records Manager, Assistant Records Manager and a group of users. The users consisted of representatives from the central Planning Department, the Resources Administrator of the College of Humanities and Social Science, the Administrator of the Management School and Economics and the Administrative Officer responsible for the MBA programmes and executive education within that School. The Assistant Records Manager drafted the maps and invited the users to comment on the drafts as they developed. The maps were amended and further discussed until all users agreed them.

At the initial meeting the users were shown the relevant function descriptions from the *JISC Study of the Records Lifecycle*. The users felt that the functions described by the *Study* did not relate to the activities they perform in relation to the University's planning and strategy functions. Rather than working from the *Study* the users preferred to develop their own functions. The functions identified by the users during the series of meetings were phrased differently from those identified by the *Study*, but in many respects they are similar, for example the users identified a function they called Monitoring Progress (A8). This function closely resembles the *Study*'s function 15.5 Strategic Performance Management.

The intention had been to map the activities and transactions of the planning and strategy functions but instead the maps developed to show processes. There are two probable reasons for this. Firstly, the users found processes easier to relate to than activities and transactions. When introduced to functional analysis the users found it very difficult to relate to the function and activity model. Even when shown the relevant function descriptions in the *JISC Study* they found it difficult to relate the descriptions to the work they do. Secondly, planning activities are cyclical. The planning cycle requires certain activities to be carried out at certain points in the cycle. The cyclical nature of the activities lend themselves to process rather than transaction mapping because the same transactions are not happening over and over again, they are happening at particular points in the cycle.

The project began with a broad definition of planning and strategy functions but as the mapping exercise progressed the scope of the project was more clearly defined and some areas discussed at the meetings were ruled out of the scope of the planning and strategy information map. In some instances the outputs of a process fell within the scope of the map whilst many of the inputs fell outside (see diagram A8-5, the calculation of the balanced scorecard). In other cases part of an activity fell within the scope of the map whilst the rest did not (see diagram A4-2, the compilation of the student part of the HESA return).

Research findings

KEY FINDINGS

1. Many of the processes below the central level are informal and unfixed. Many are also under development and likely to change as the University's new structure establishes itself over time.

Following this year's experience the College intends to put in place new systems for next year's planning round. Some of these new systems are reflected in the diagrams, for example next year the College intends to send Schools indicative budgets rather than asking them to plan on the basis of a set of different scenarios (diagram A3-3).

This instability has the potential to impact on the retention schedule produced from the information map. As new systems are implemented, and informal processes are formalised the information map will become less accurate. However, the retention schedule is focused on the records created by those processes and whilst the processes may change, the records that are produced by the changed or formalised processes are unlikely to change significantly.

2. Much of the communication is informal and personal, and does not lead to the creation of formal records. Users do not keep or create records of all processes or decisions; they have not found it necessary to do so. Those records that are created are often "informal" records in the form of "personal" e-mails.

Decisions in the College are made executively by the Head of College with few documents created to record those decisions. In many cases the only documentation are e-mails held in the "personal" e-mail account of the Head of College. Informal lobbying of the centre by Schools and Colleges goes on throughout the year. This can produce decisions of which the first official record is the annual plan (diagram A3-1-3).

Managing e-mail records is problematical. Users perceive e-mail as "personal" since they have their own personal e-mail account. They often also consider their e-mails to be informal and not part of the University record. The retention schedule has been developed irrespective of the media of the records and the University Archivist has expressed interest in some of the e-mail records. It is likely that this will have an impact on the way users manage their e-mail accounts in future.

3. The Internet and University Intranet are used extensively by the central Planning Section to make documents available on a routine basis to the rest of the University and in some cases to the world. The University culture encourages widespread use of the Internet to exchange information. The infrastructure to do so is readily available. The Planning Section has taken advantage of this situation, has taken it to its logical conclusion and is, in some respects, using the Internet and Intranet as a filing system.

The system enables Schools and Colleges to draw on centrally held information quickly and easily. It is so much a part of the Planning Section's way of working that representatives from the Section have suggested that the retention schedule be

structured to reflect the structure of the Planning Section's web site. The system has proved so useful that the College plans to follow suit shortly.

4. The process through which the University develops its organisational structure (diagram A5-2) is different from that described in the *Study*. The impetus for development of the University structure usually comes from departments and the idea often emerges during the planning round, rather than from an "organisational development strategy" although the impetus for major restructuring of the University, like that which has just been completed, comes from the centre and is administered centrally (diagram A5-1). Such major restructuring is usually a result of informal monitoring of both the internal and external environments in which the University operates.

5. The mapping exercise emphasised the lack of standardised terminology across the University. Different users in the group used the same or similar terminology to mean different things, for example "teaching load" at School and Group level could refer to the workload of tutors whilst at the central level it concerns students and which parts of their courses are taught by which schools. In some cases there are also different terms for the same document, for example "planning submission" and "annual plan" are the same document but from the differing perspectives of the central Planning Section and the College respectively. The difference in terminology and record name has implications for the way in which the information map and the retention schedule are understood. Where known, the terminology used on the information map has been chosen to be as explicit as possible, and the retention schedule gives both names of a document where necessary.

PLANNING & STRATEGY FUNCTIONS (DIAGRAM A0)

Eight planning and strategy functions were identified during the initial meetings. Five of these (A1, Agreeing strategic priorities, A2, Managing the planning process, A3, Negotiating resources, A4, Data analysis and A5, Organisational development) feed into A6, the Production of Annual Plans which in turn feeds into A7, the production of the University Strategic Plan. The annual plans and the strategic plan have their implementation progress monitored (A8).

AGREEING STRATEGIC PRIORITIES (DIAGRAMS A1)

The University's strategic priorities are drawn together by the Senior Vice Principal and the Director of Planning and are then presented to the Central Management Group and the Principal's Strategy Group for discussion and approval. The College and the School draw up their own strategic priorities independently of the centre for their own internal purposes. The process is very informal without any fixed procedures. Most of the decisions (certainly for the College) are made executively and few documents, except e-mails, are created to record the decisions.

MANAGING THE PLANNING PROCESS (DIAGRAMS A2)

The central Planning Section leads the College through the planning process. In order to complete the College plan the College requires its Schools to make planning submissions to the College. The central Planning Section compiles the planning

assumptions for the year's planning cycle, the timetable and guidance for Colleges and Support Groups on the planning process. The College issues its own timetable and planning guidance to Schools in advance of the guidance available from the Centre in order to give the process more time. The College supplements the guidance it gives to Schools once the Central planning guidance has been issued.

NEGOTIATING RESOURCES (DIAGRAMS A3)

The centre produces the University budget based on the agreed planning assumptions, the planning submissions from the Colleges, information about student numbers and information from HR and Finance. It may also be influenced by informal lobbying that has been on going throughout the year. In addition to the budget allocation at the start of the year Colleges may receive in year budgetary adjustments. The College may choose to divide the adjustment between Schools. Schools set their budgets on the basis of the figures given to them by the College and on the statements' of needs from its Groups.

Outside the normal budgetary allocations the College may apply to the Central funding reserve and the School may bid for extra funds from the College strategic investment fund. These are separate processes from the planning process.

DATA ANALYSIS (DIAGRAM A4)

Data analysis is a core responsibility of the central Planning Section. The resulting analyses are made available to Colleges and Schools as management and planning information. Colleges and Schools check the centrally held data for accuracy as inaccurate figures affects their budgets.

ORGANISATIONAL DEVELOPMENT (DIAGRAM A5)

See key finding no. 5.

PRODUCING THE ANNUAL PLANS (DIAGRAM A6)

The University does not produce a central Annual Plan but it requires Colleges to produce annual plans, which feed into the University's strategic plan. The College requires Schools to submit plans to aid with the production of the College plan and the School requires Groups to submit plans. The planning process is much less formal at the School and Group level but in many respects the process mirrors that by which Colleges submit plans to the centre. The annual plans are internal documents.

PRODUCING THE STRATEGIC PLAN (DIAGRAM A7)

The Strategic Plan is a public document required by SHEFC as one of the conditions of grant. It sets out the University's strategy over a five-year period. The annual plans produced by the Colleges and Support Groups are required by the centre in order to produce the Strategic Plan.

MONITORING PROGRESS (DIAGRAM A8)

Colleges (and subsequently Schools) compile progress reports on specific accountability items following a request from the centre. The information from these reports is then included in the strategic plan (diagram A8-1). The University also audits the progress on the strategic priorities three times a year (diagram A8-4).

The University constantly monitors its progress in recruiting students (diagram A8-2) which is crucial to the funding it will receive from its funding bodies. In turn the funding bodies require the submission of returns which detail the numbers and types of students enrolled (diagram A8-3).

Financial monitoring takes place at all levels. The School and the Group also monitor their teaching workloads, which influence their budgets.

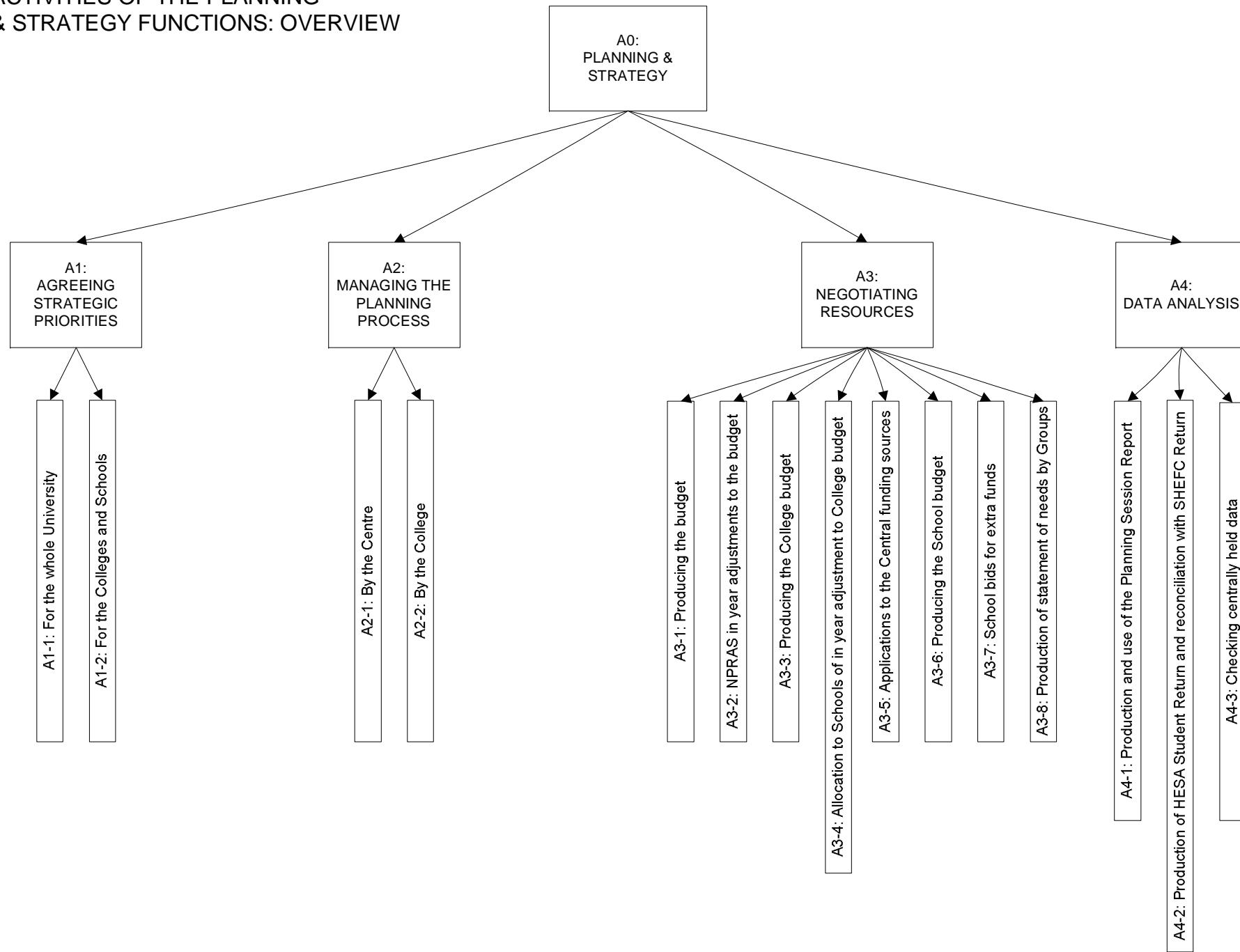
Conclusion

The mapping process has been very valuable in clarifying the processes taking place. The meetings were a good way for the users to discuss the processes from their varying points of view and for the Records Management Section to clarify the processes.

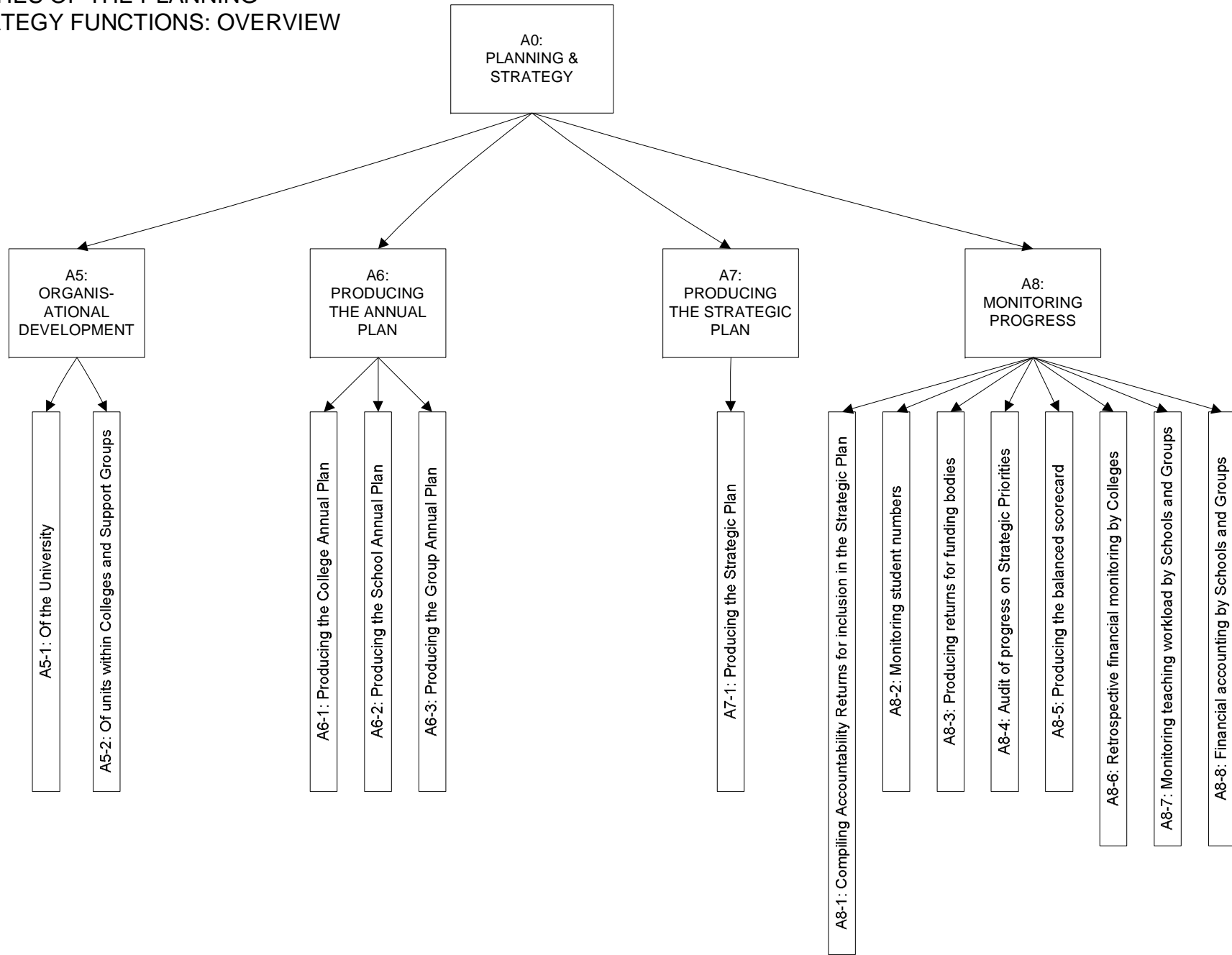
The process of drafting the maps was extended as the Assistant Records Manager had to learn about the planning process at the University from the very beginning. Many amendments were required to the information maps, some contradictory as users saw processes from different perspectives. A better methodology might in future be for the users to draft maps for their own processes and for the maps then to be brought together.

Anne Thompson
October 2003

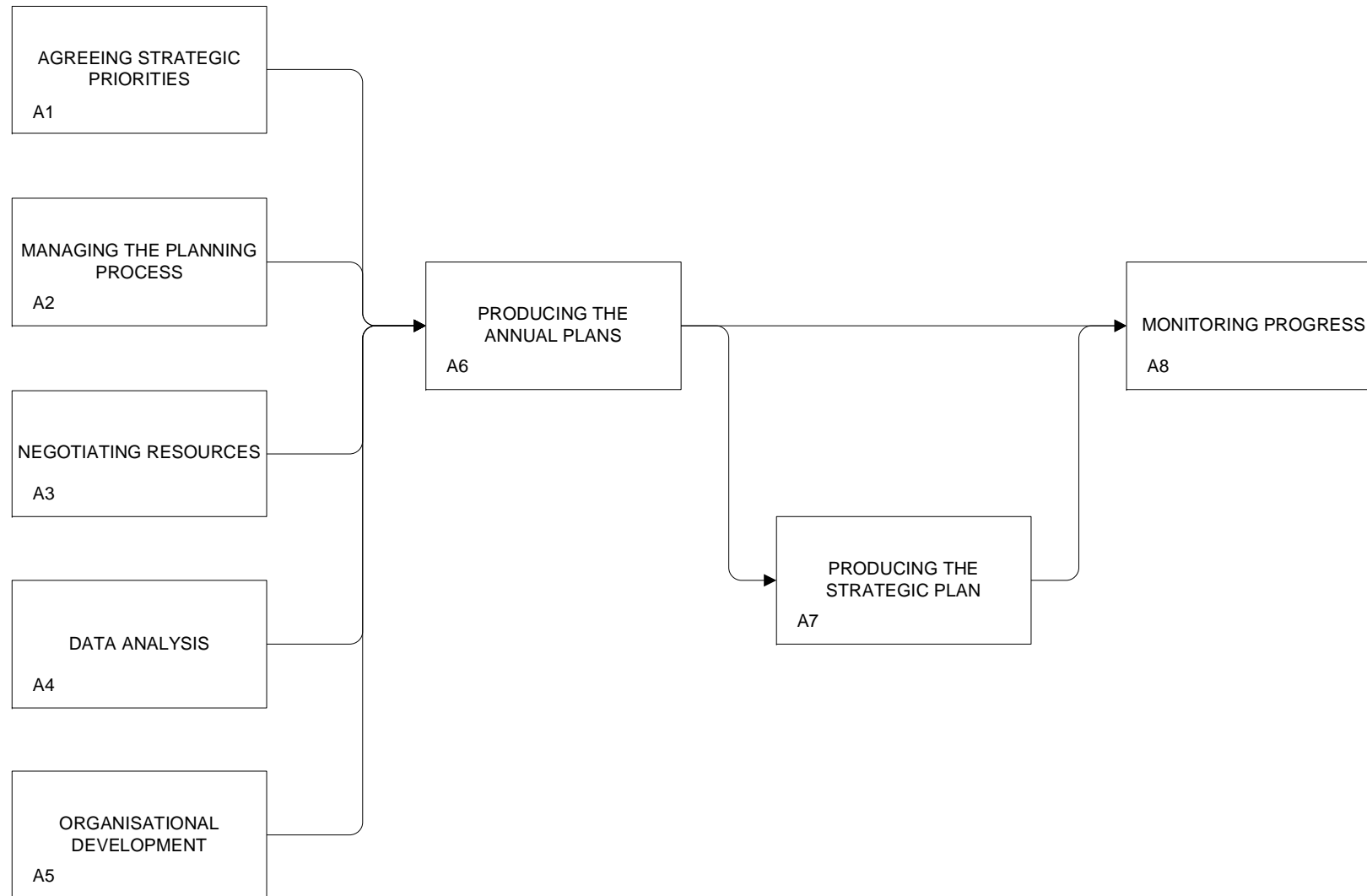
ACTIVITIES OF THE PLANNING & STRATEGY FUNCTIONS: OVERVIEW



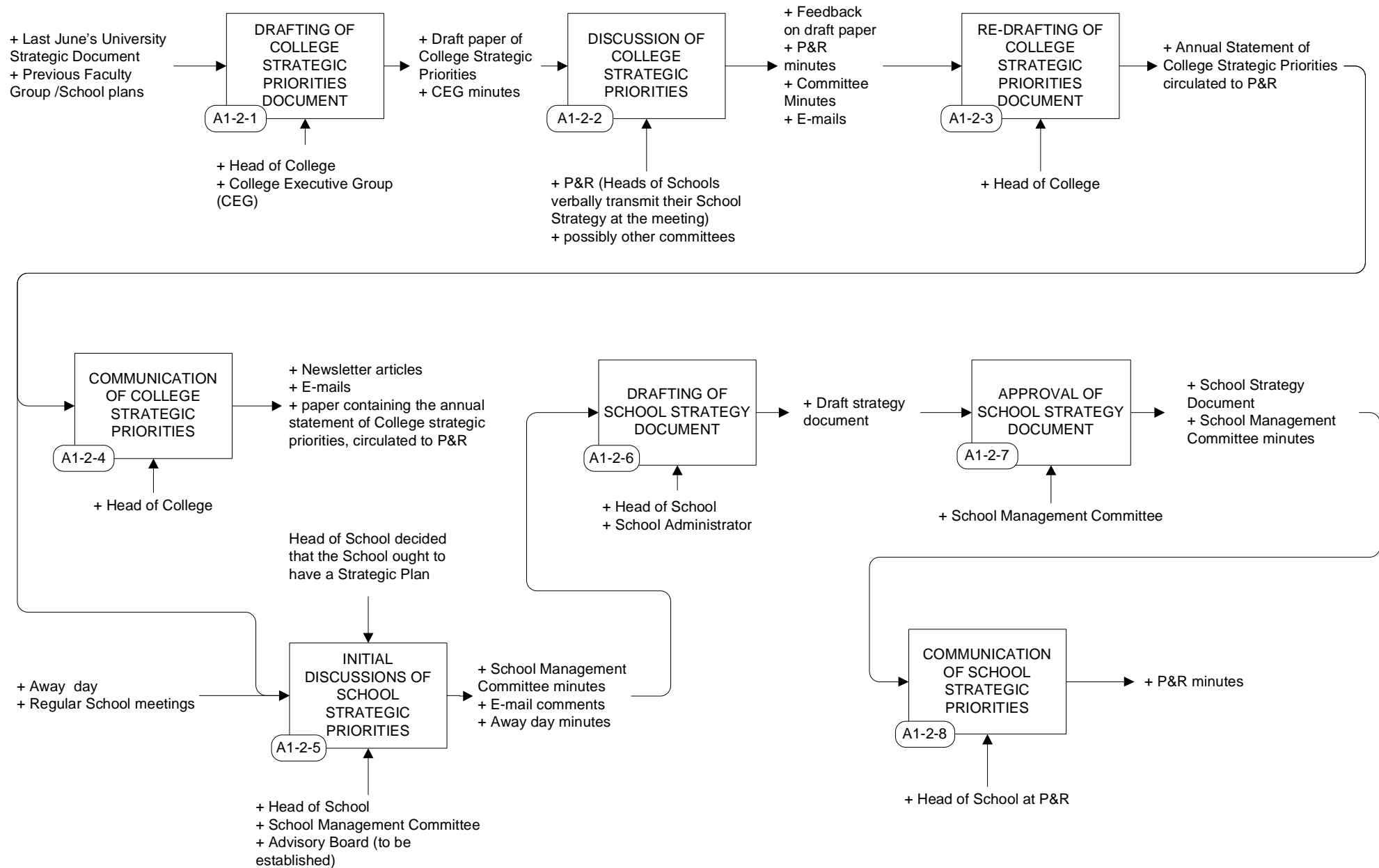
ACTIVITIES OF THE PLANNING & STRATEGY FUNCTIONS: OVERVIEW



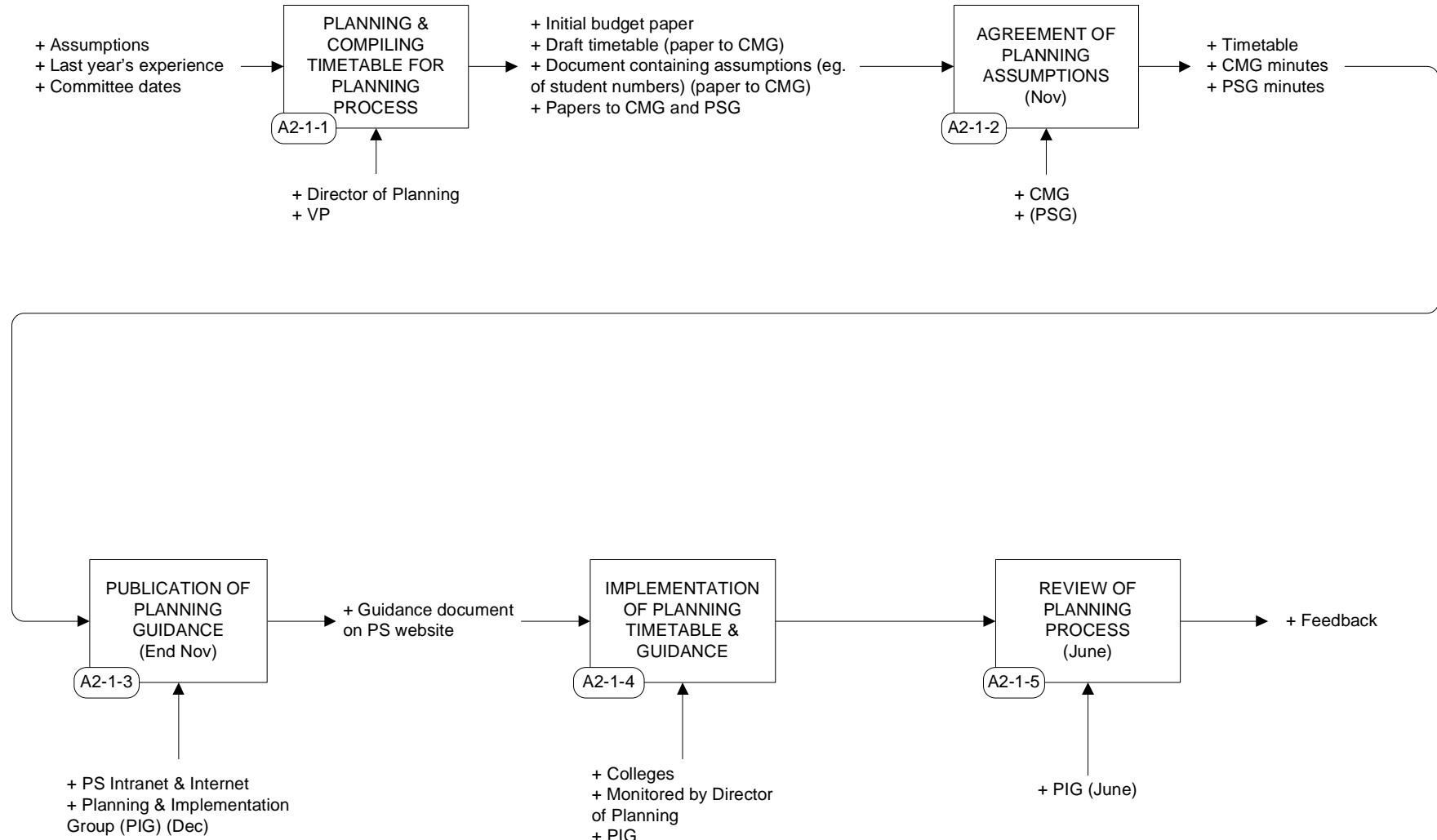
PLANNING & STRATEGY FUNCTIONS



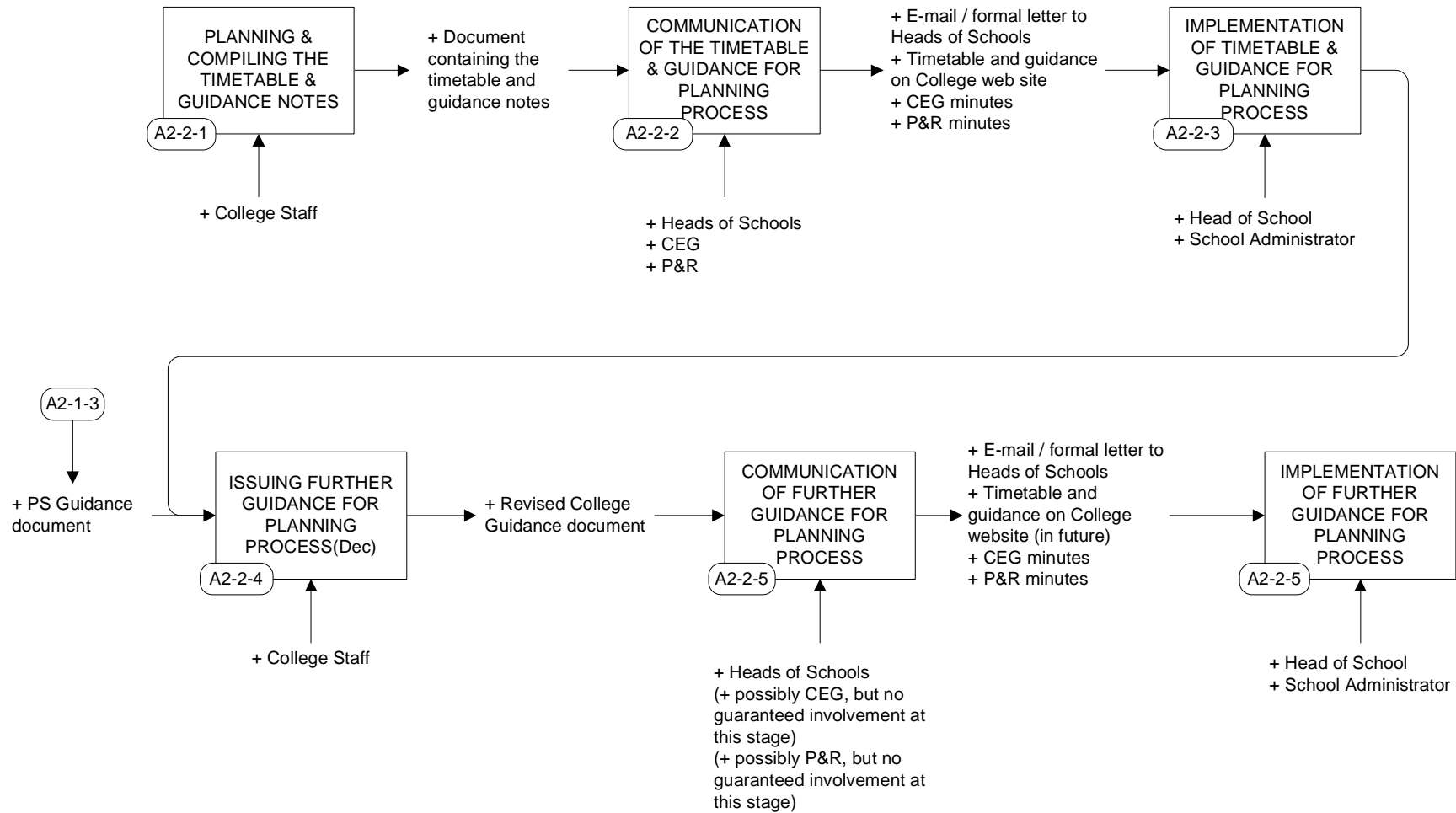
AGREEING STRATEGIC PRIORITIES: For colleges and schools



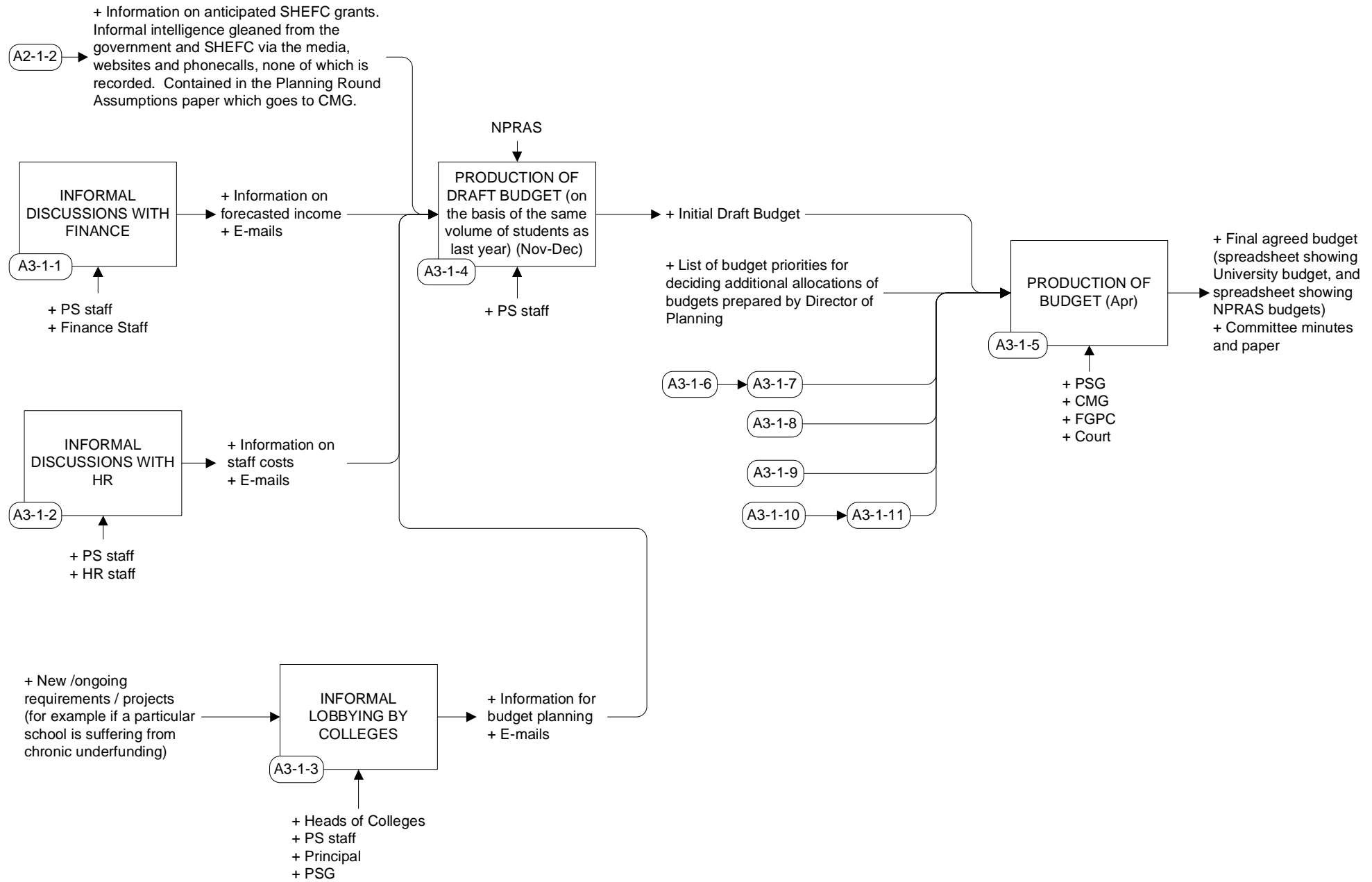
MANAGING THE PLANNING PROCESS: By the centre



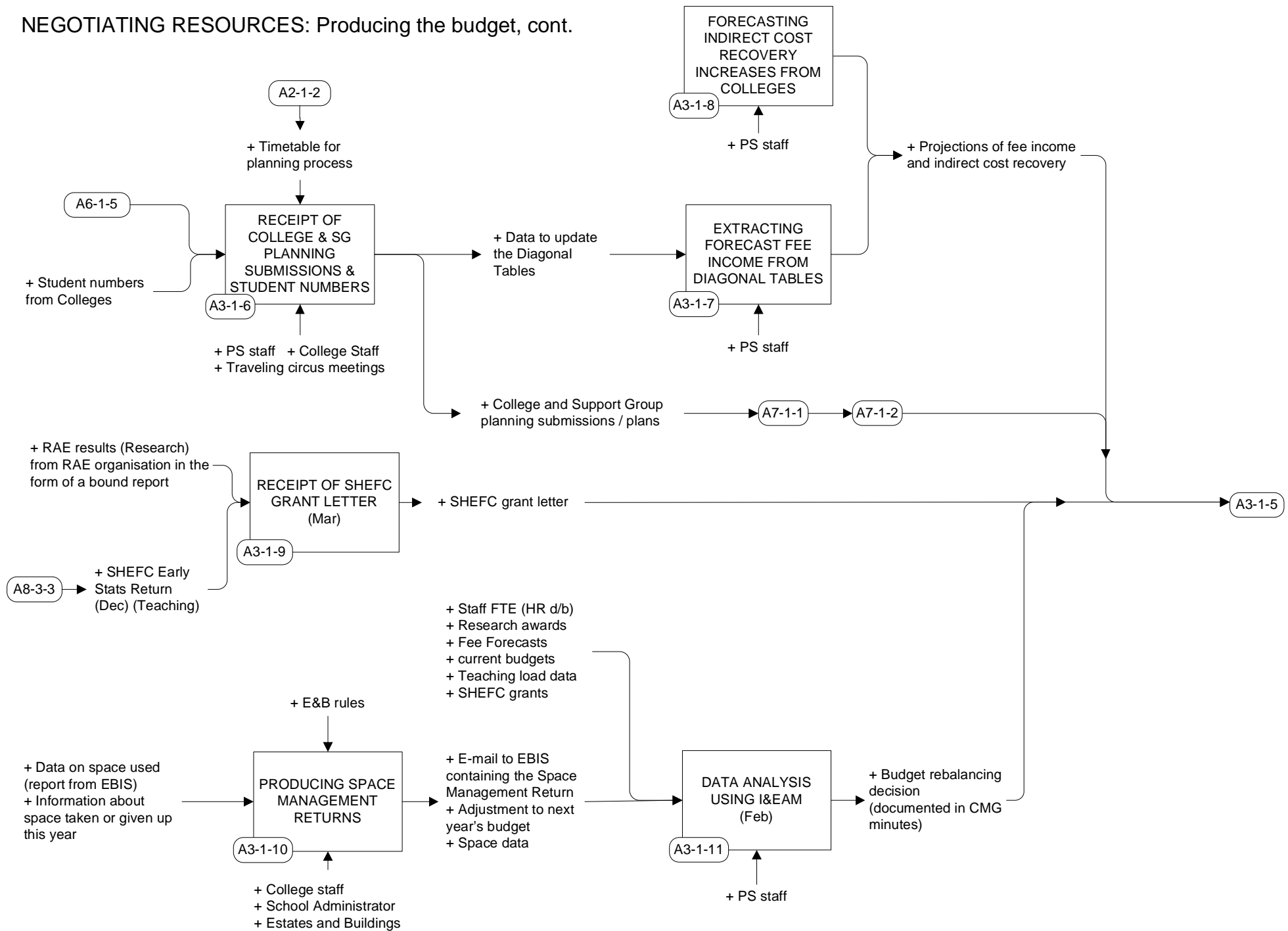
MANAGING THE PLANNING PROCESS: By the College



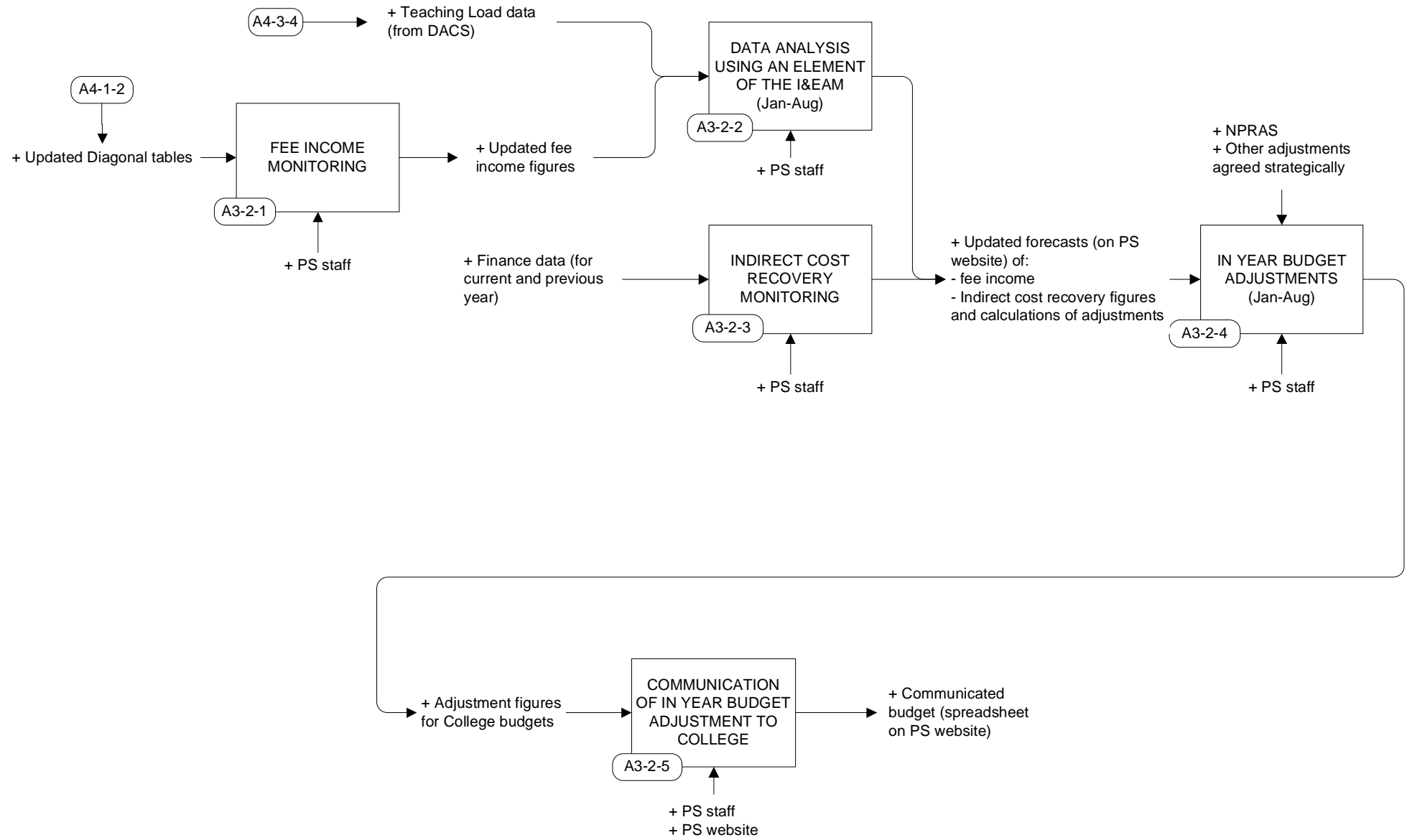
NEGOTIATING RESOURCES: Producing the budget



NEGOTIATING RESOURCES: Producing the budget, cont.

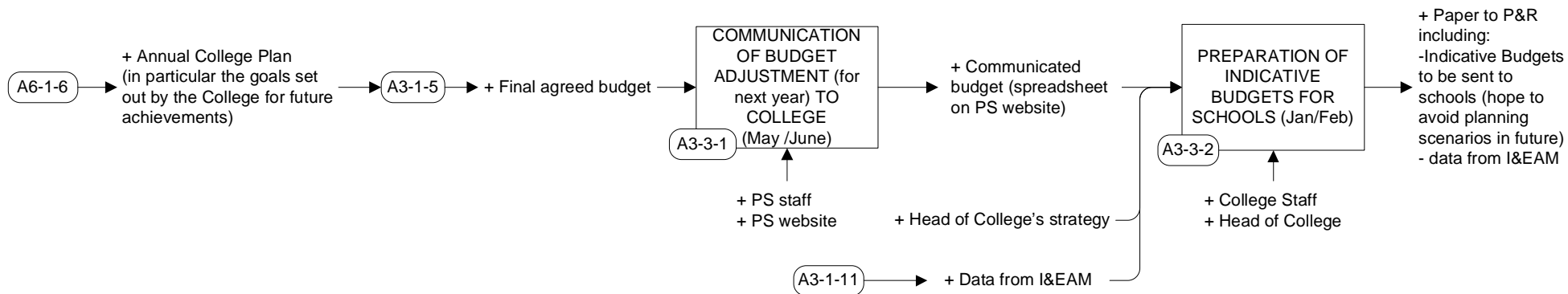


NEGOTIATING RESOURCES: NPRAS in year adjustments to the budget

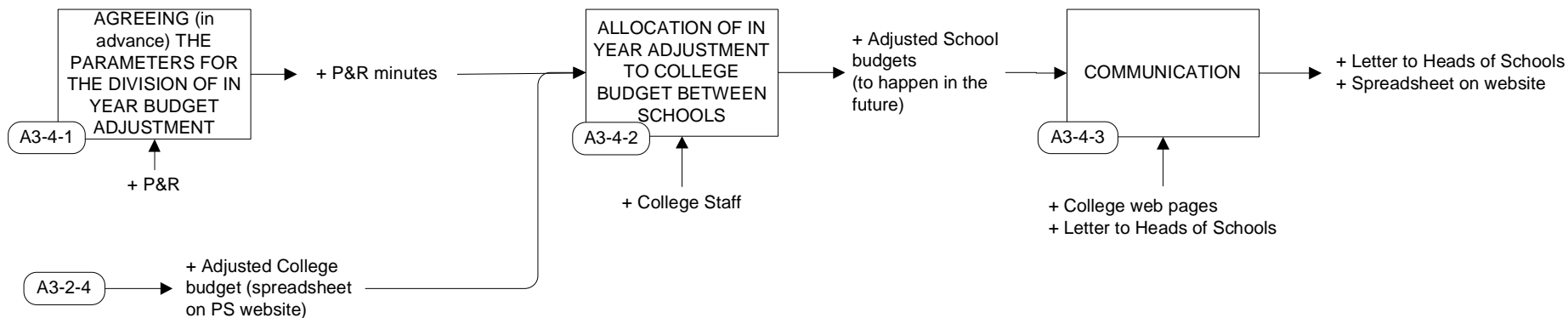


NEGOTIATING RESOURCES: Producing the College budget

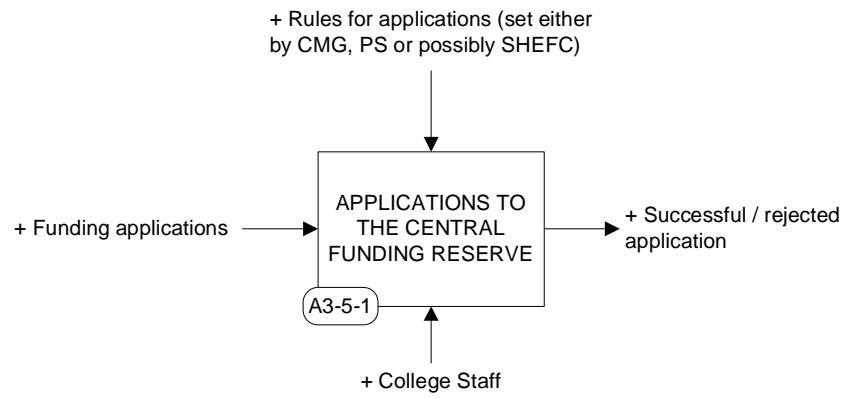
PREPARATION OF COLLEGE SCENARIO PLANS / COLLEGE PLANNING SUBMISSION (see A6-1)



NEGOTIATING RESOURCES: Allocation by College to Schools of the in year adjustment to the College budget

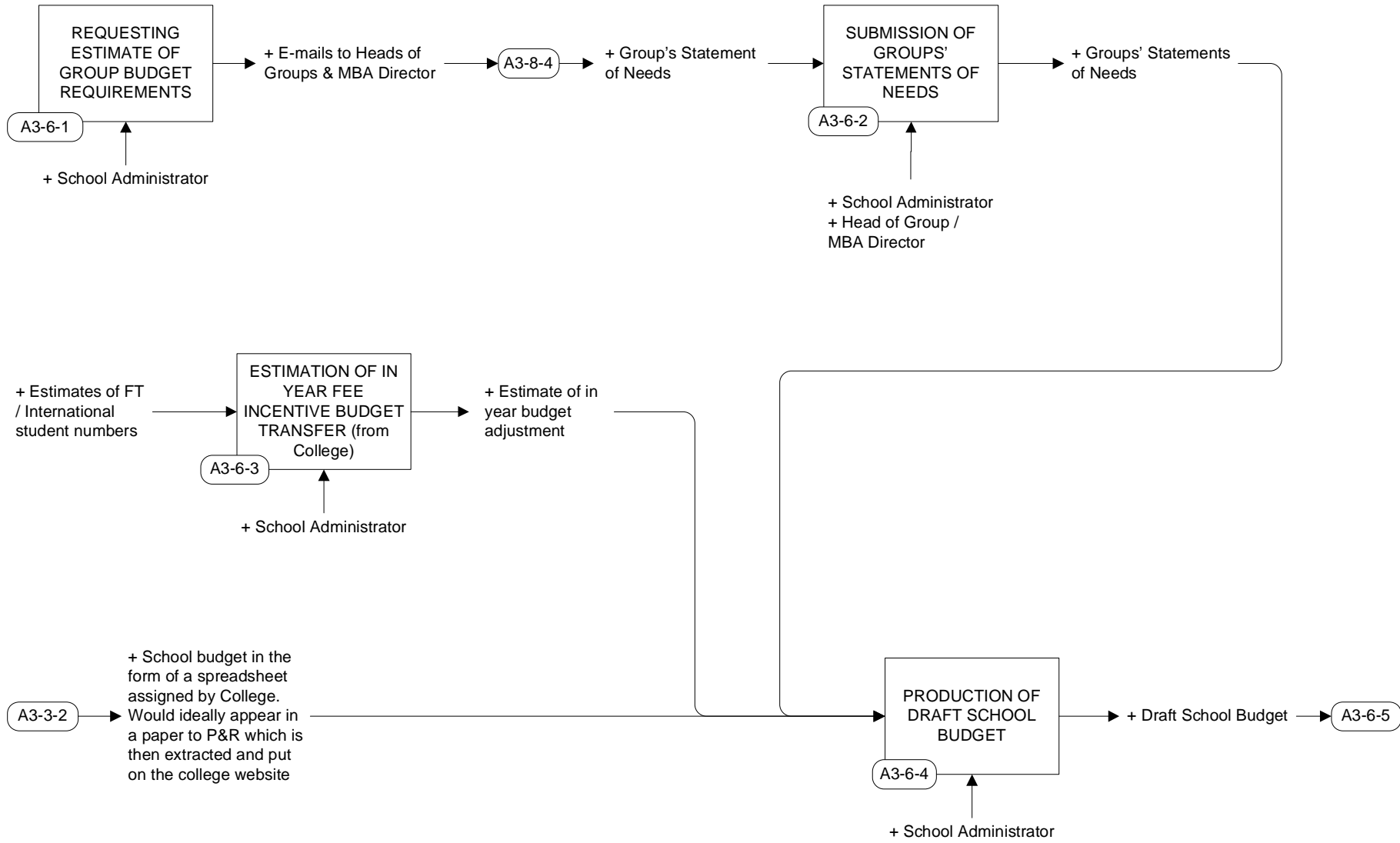


NEGOTIATING RESOURCES: Applications to Central funding sources

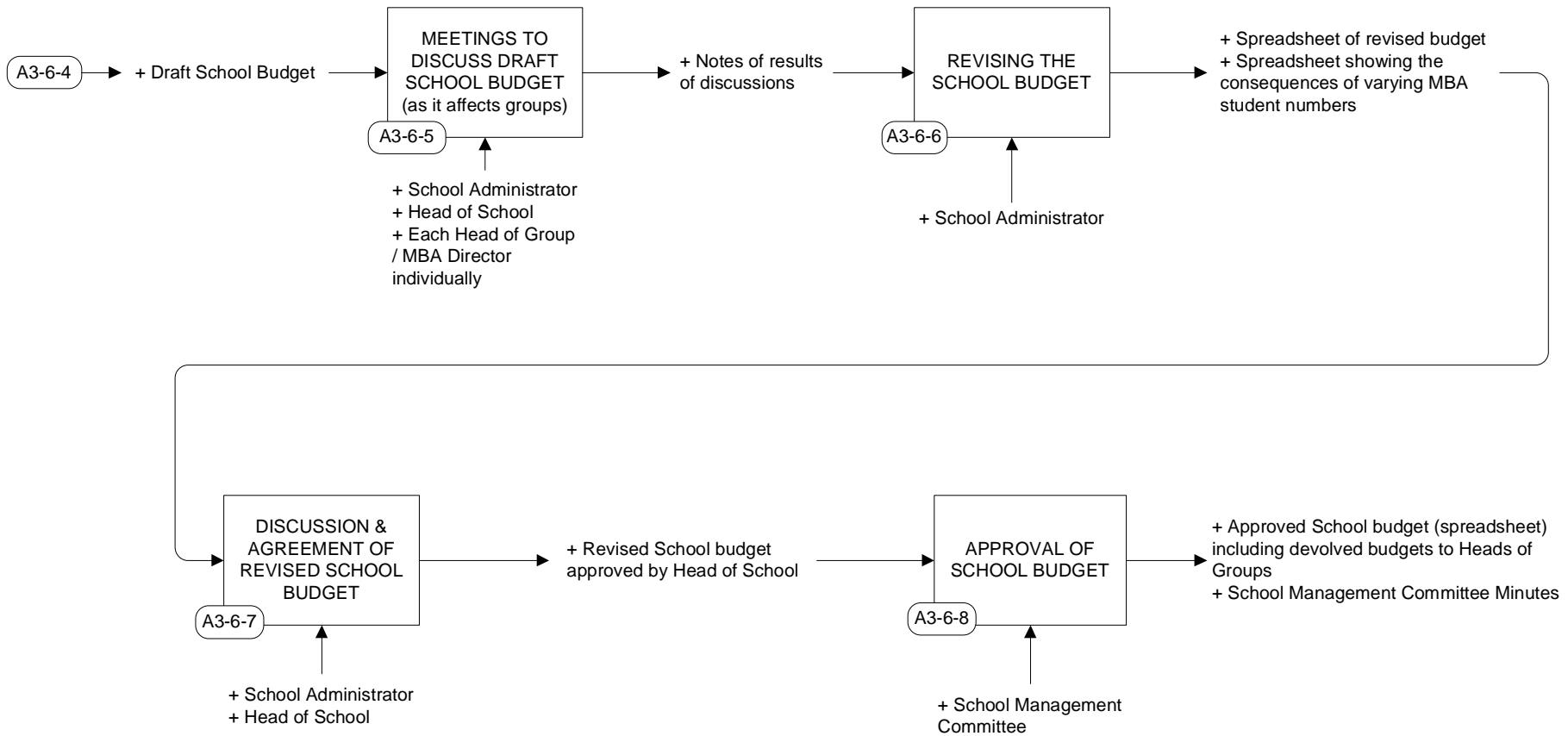


NEGOTIATING RESOURCES: Producing the School budget

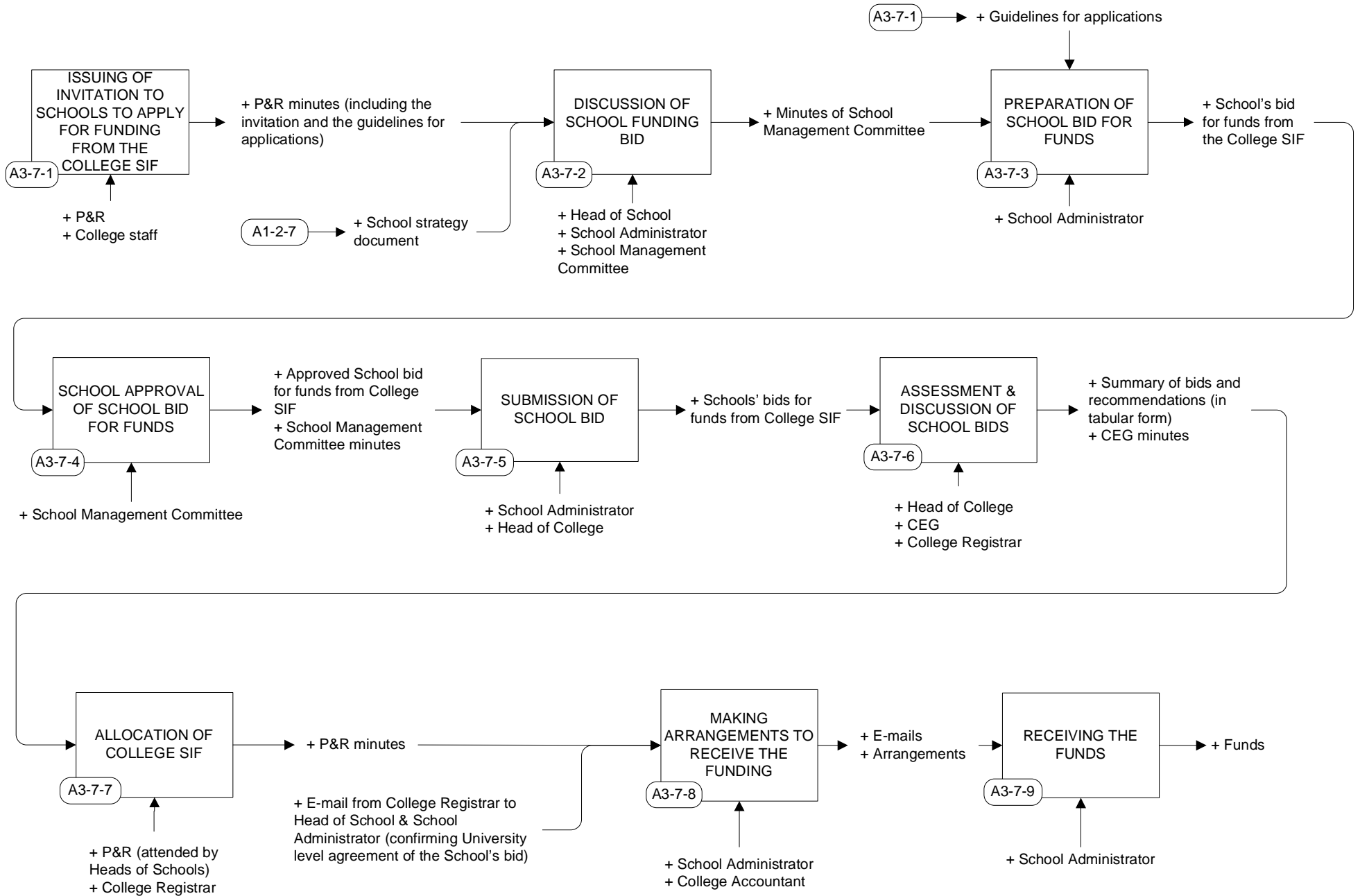
PRODUCTION OF SCHOOL PLANS INCLUDING BUDGETARY NEEDS (see A6-2)



NEGOTIATING RESOURCES: Producing the School budget, cont.



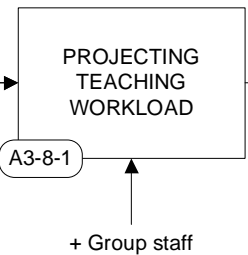
NEGOTIATING RESOURCES: School bids for extra funds



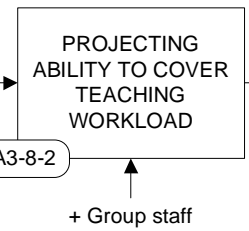
NEGOTIATING RESOURCES: Production of statement of needs by Group

- + Course information (from course co-ordinators) including details of contact hours and assessments (from course booklets)
- + Information about new courses (as they develop) / abandoned courses / updated courses
- + Information about teaching staff:
 - Regarding staff vacancies, recruitment, and new appointments
 - Regarding staff commitments eg. research agenda, sabbaticals, management responsibilities

A8-22 → + Spreadsheet containing staff teaching load information for the School

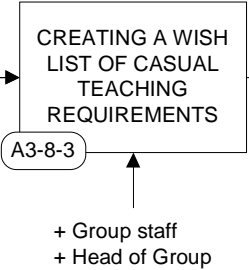


+ Projected teaching workload

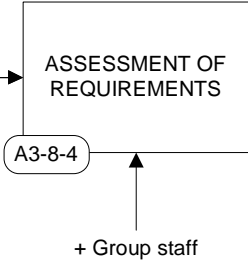


+ Projected shortfall in teaching workload

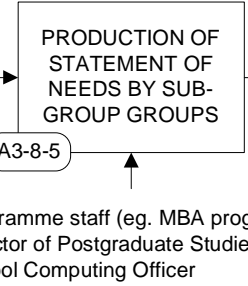
- + Specialist requirements (eg. The need to buy in specialist teaching from elsewhere)



+ Wish list

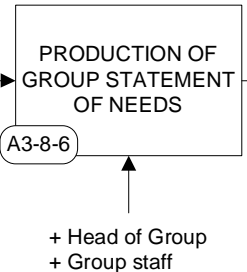


+ Requirements



A3-6-1 → + Invitation to submit a statement of needs (e-mail from School Administrator)

+ Statements of Needs by sub-group groups

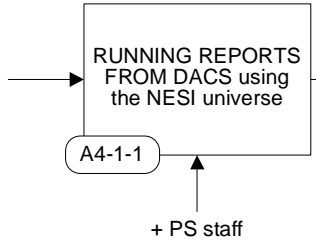


A3-6-2

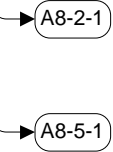
DATA ANALYSIS: production and use of the Planning Session Report

+ DACS is a database which contains data on:

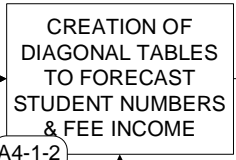
- student admissions
- curricula
- student records (collated by Registry)
- Teaching load (checked by colleges)



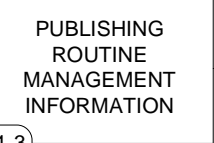
+ Planning Session Report (Extracted Data) spreadsheet



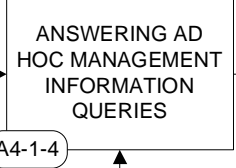
+ Teaching load reports spreadsheet



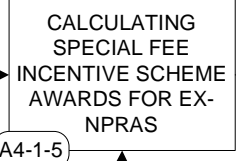
+ Diagonal tables (including Management Information for Schools and Colleges on actual and forecast student numbers and forecast changes in fee income)



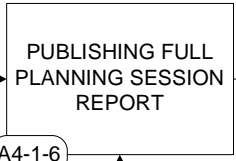
Management Information



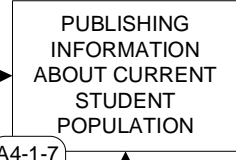
+ Answered query (e-mails and memos) If the answer is thought to be generally useful it is published on the PS website



+ Web page showing calculation of award to be transferred



+ Student data for Schools and Colleges (restricted)



Summary of current student population (restricted access)

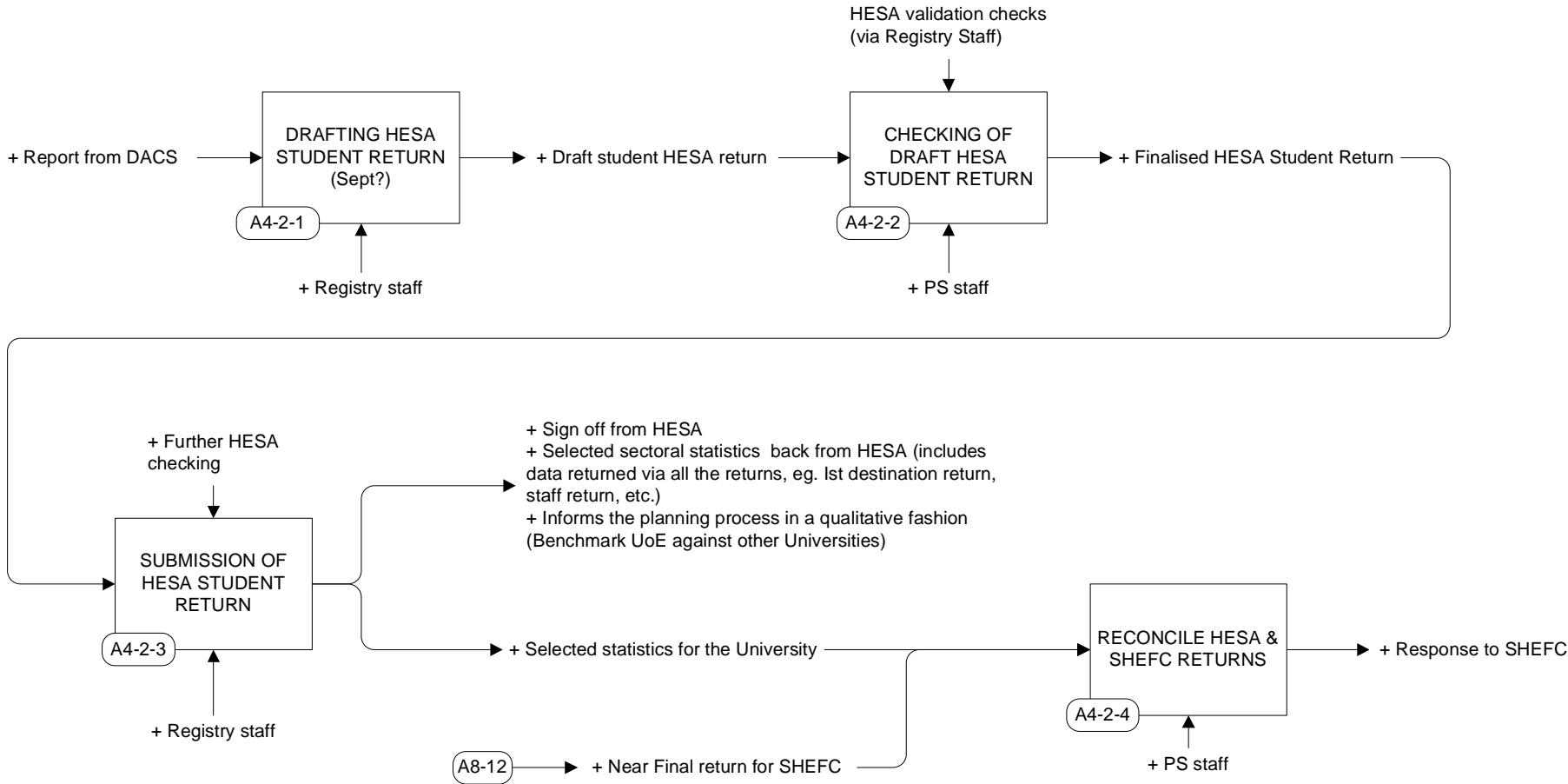
N.B. "Management Information" is the information available to University administrators from the PS, much of which is published regularly on the PS website. It includes analyses of data which relate to the University's:

- + Students
- + Staff
- + Finances
- + Research
- + Estates & Buildings
- + Facts and Figures

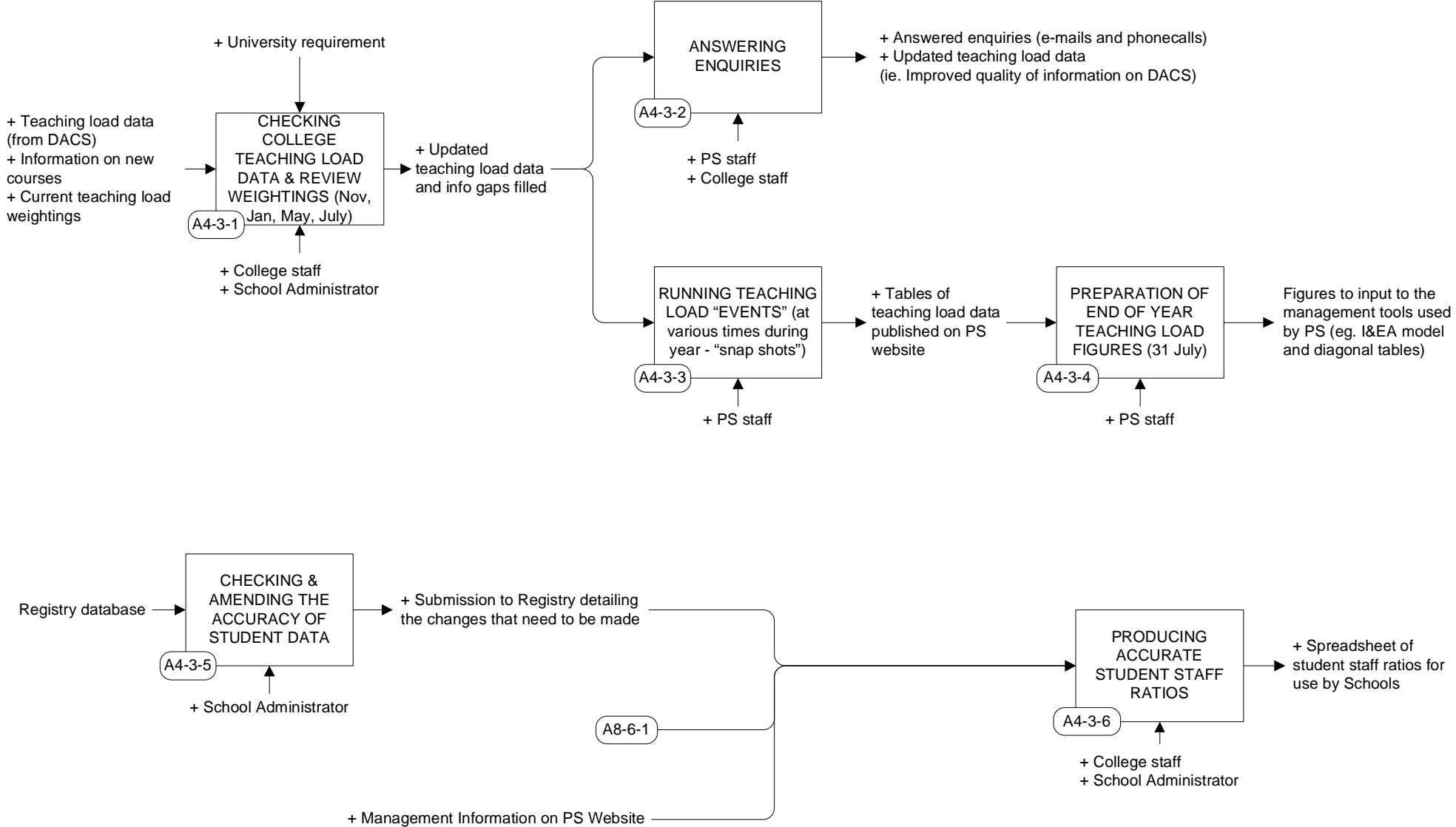
And analyses of data which compare HEIs in Scotland and the UK:

- + Student analyses
- + Applicants analyses
- + Staff analyses
- + Financial analyses
- + Research analyses
- + By HESA Cost Centre

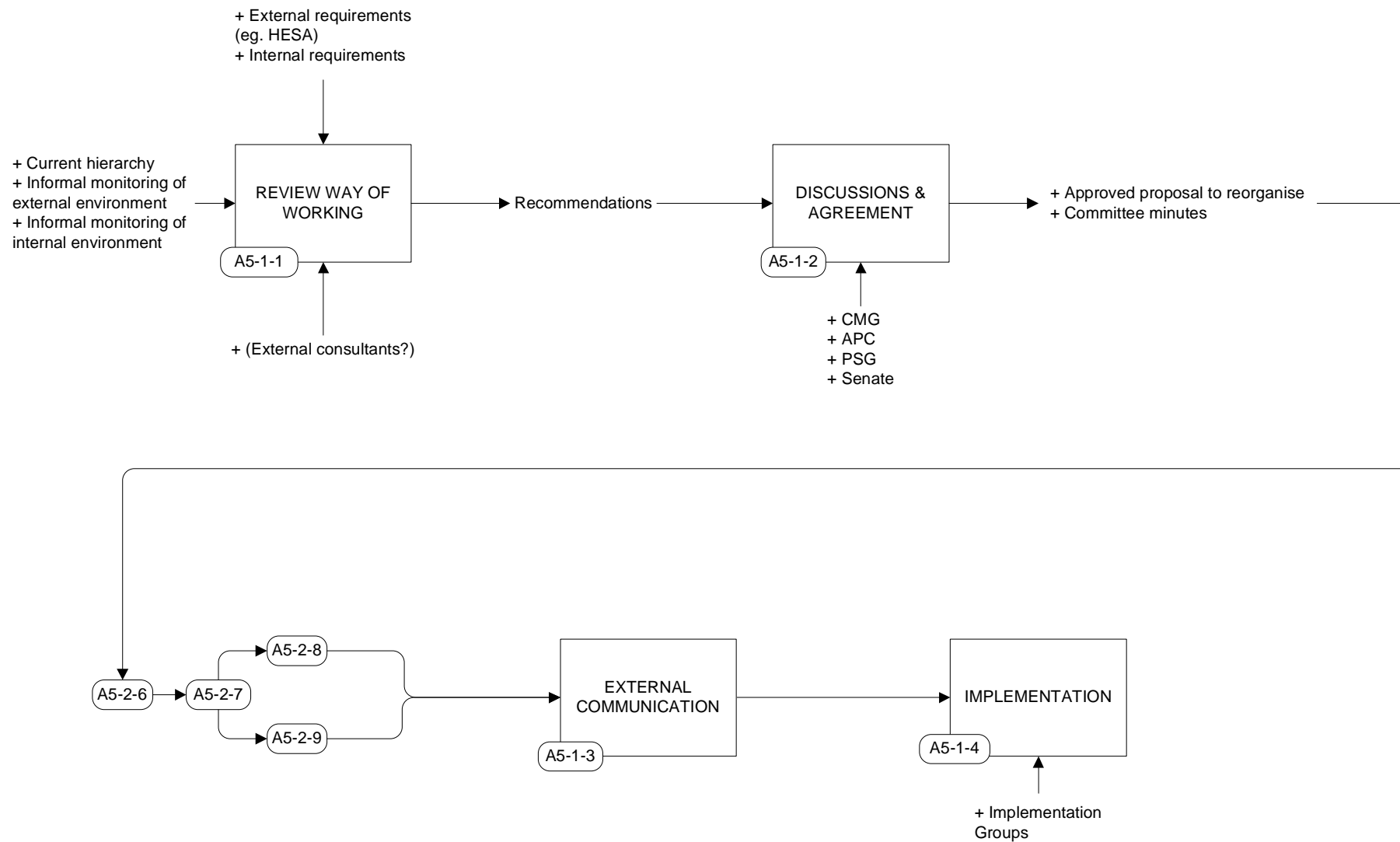
DATA ANALYSIS : Production of HESA Student Return and reconciliation with SHEFC Early Stats Return



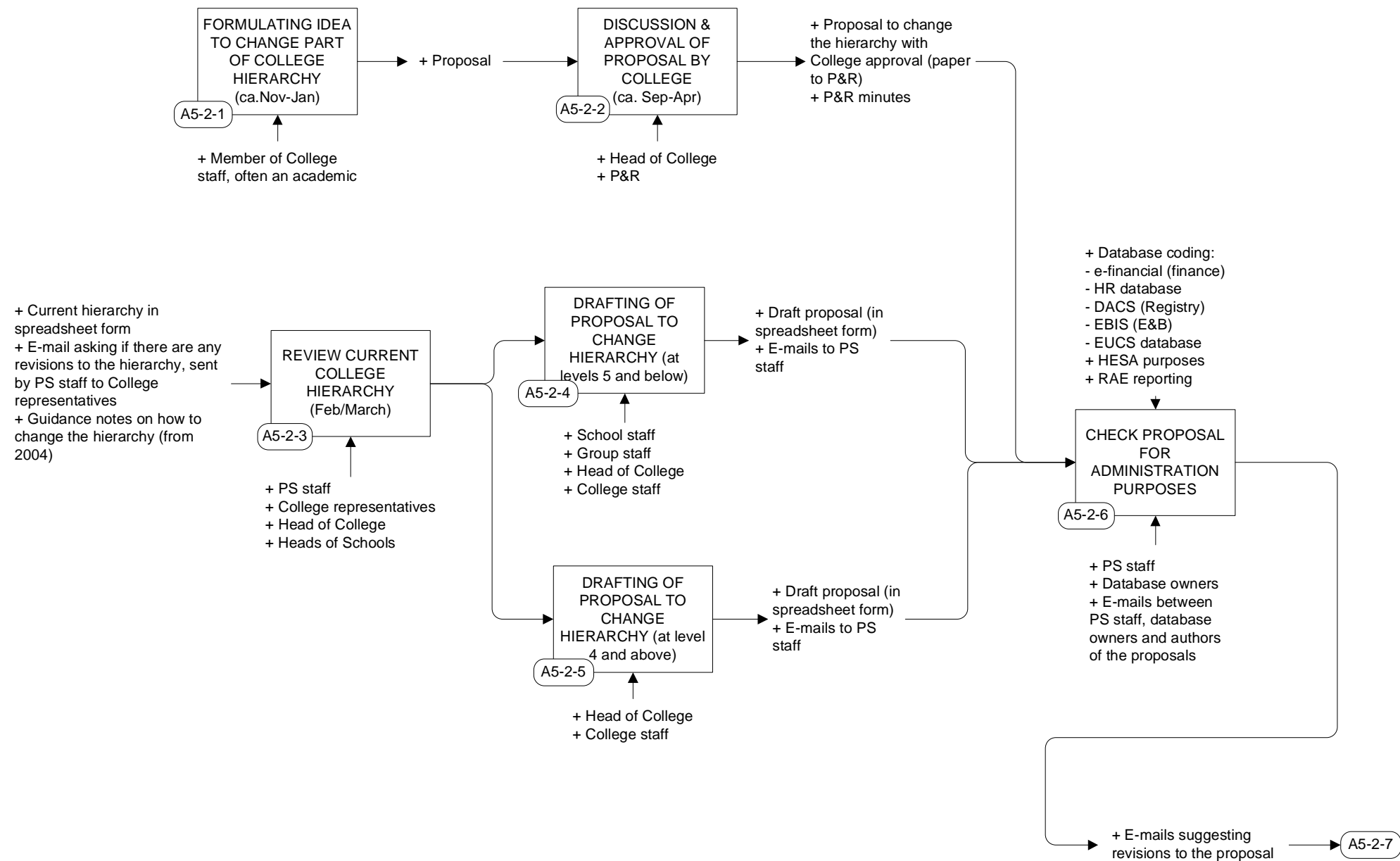
DATA ANALYSIS: Checking centrally held data



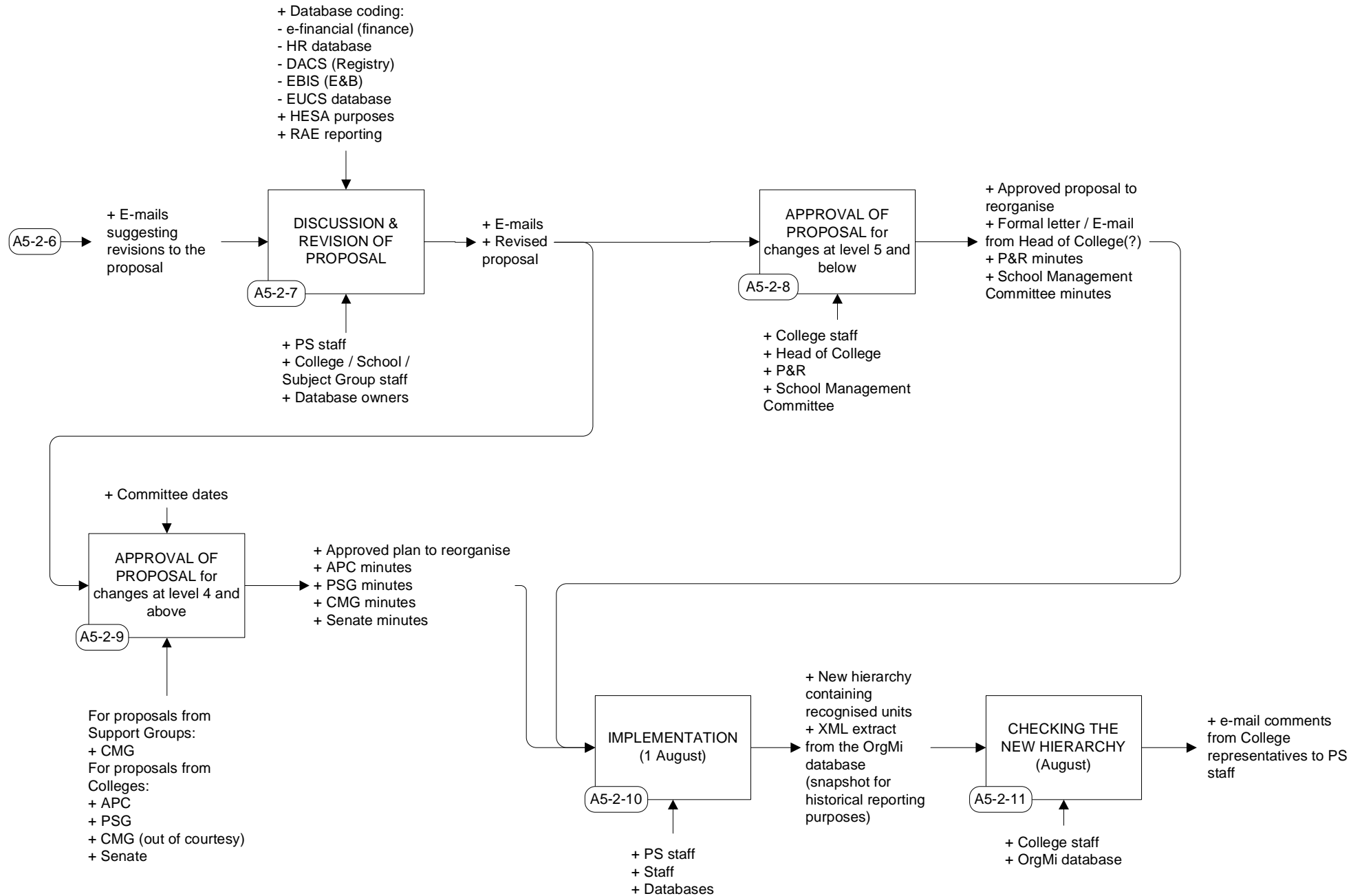
ORGANISATIONAL DEVELOPMENT: Of the University



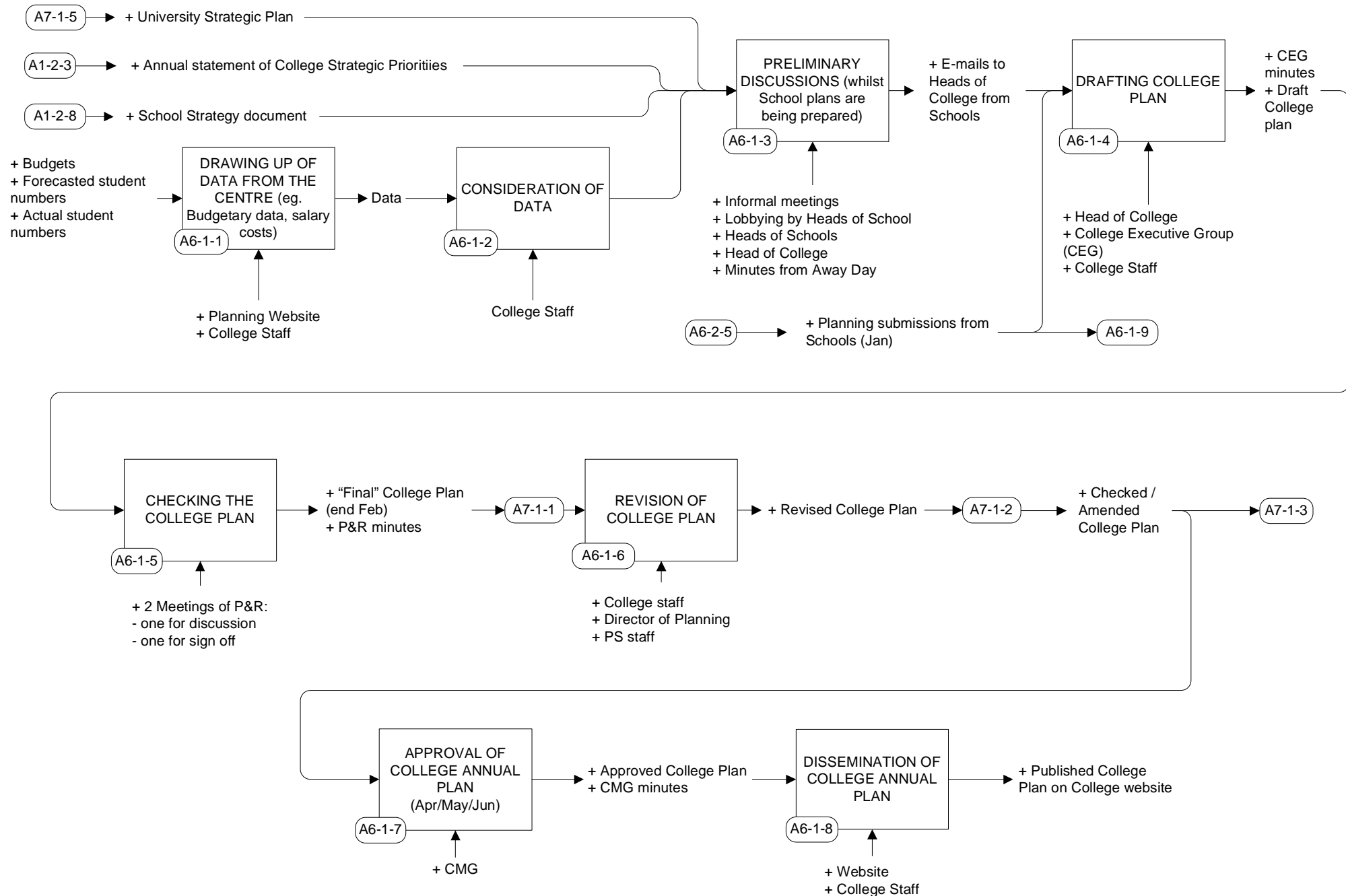
ORGANISATIONAL DEVELOPMENT: Of units within colleges

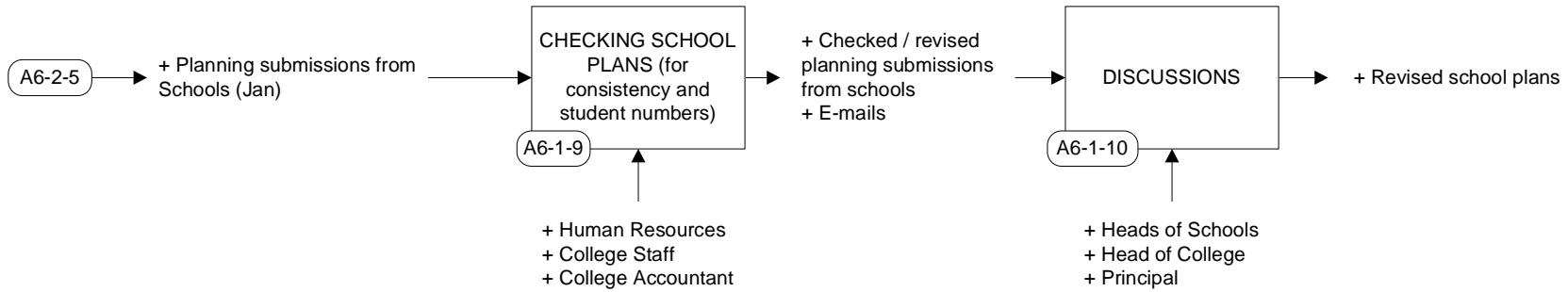


ORGANISATIONAL DEVELOPMENT: Of units within colleges, cont.

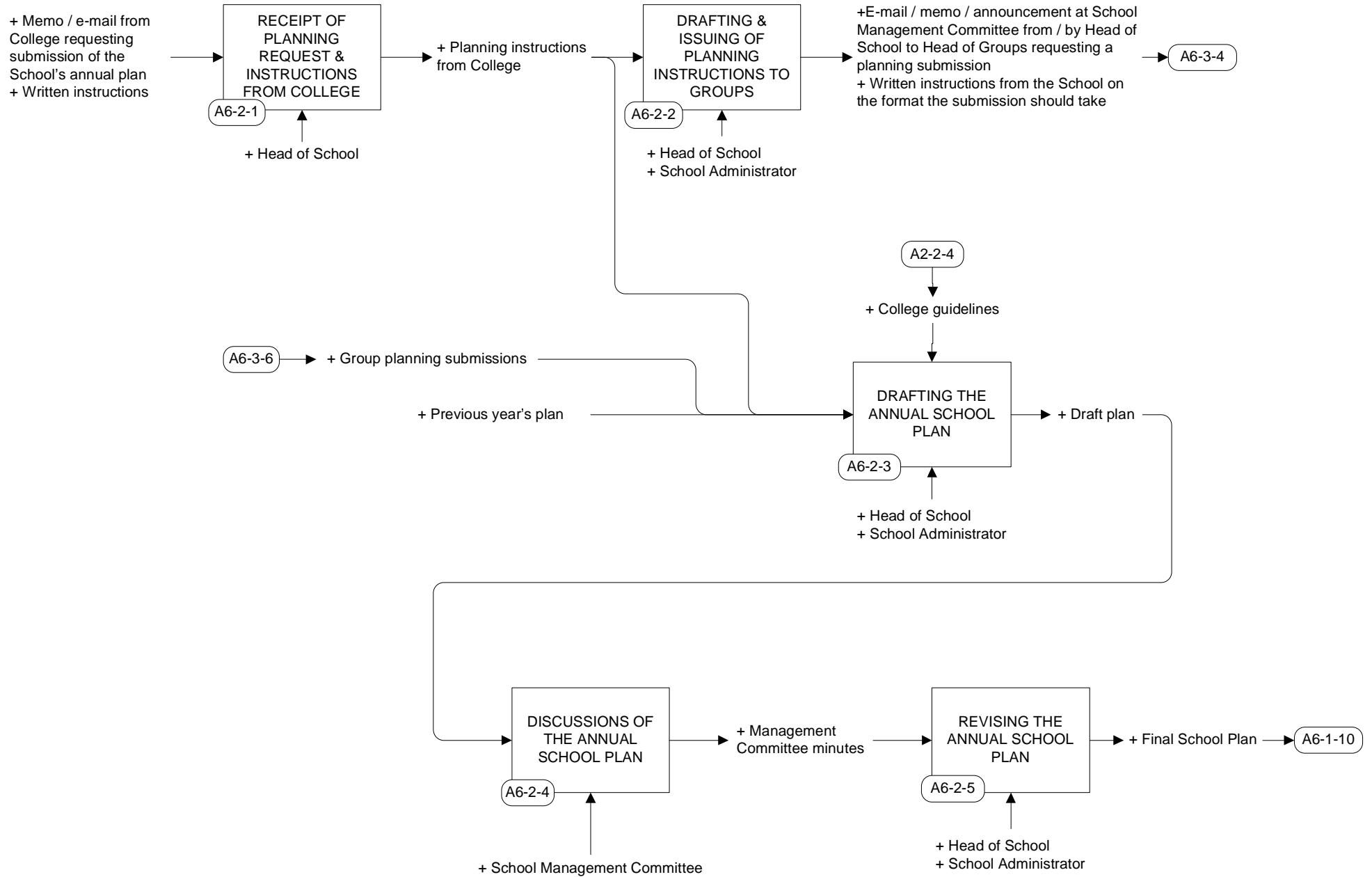


PRODUCING THE COLLEGE ANNUAL PLAN

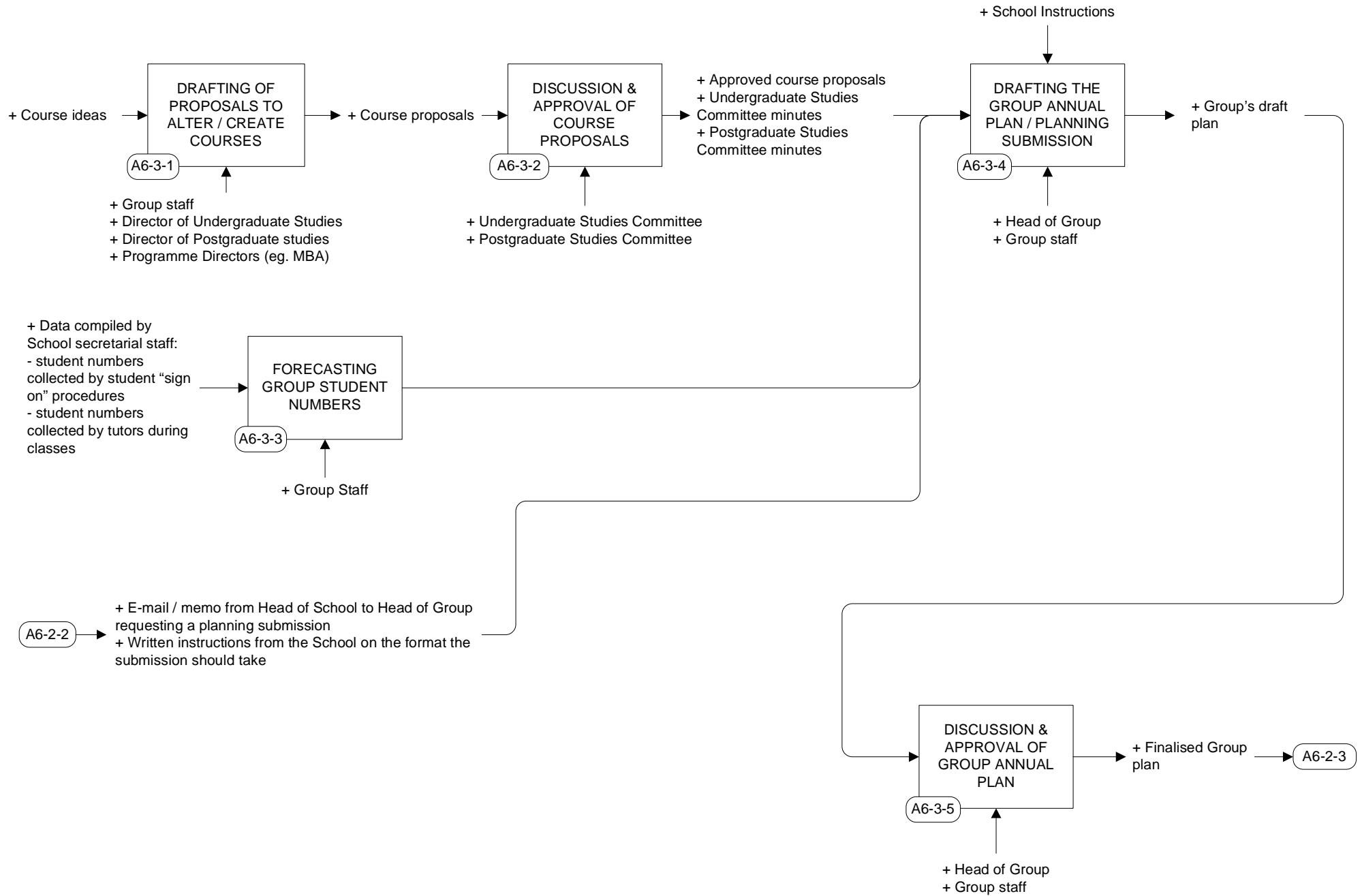




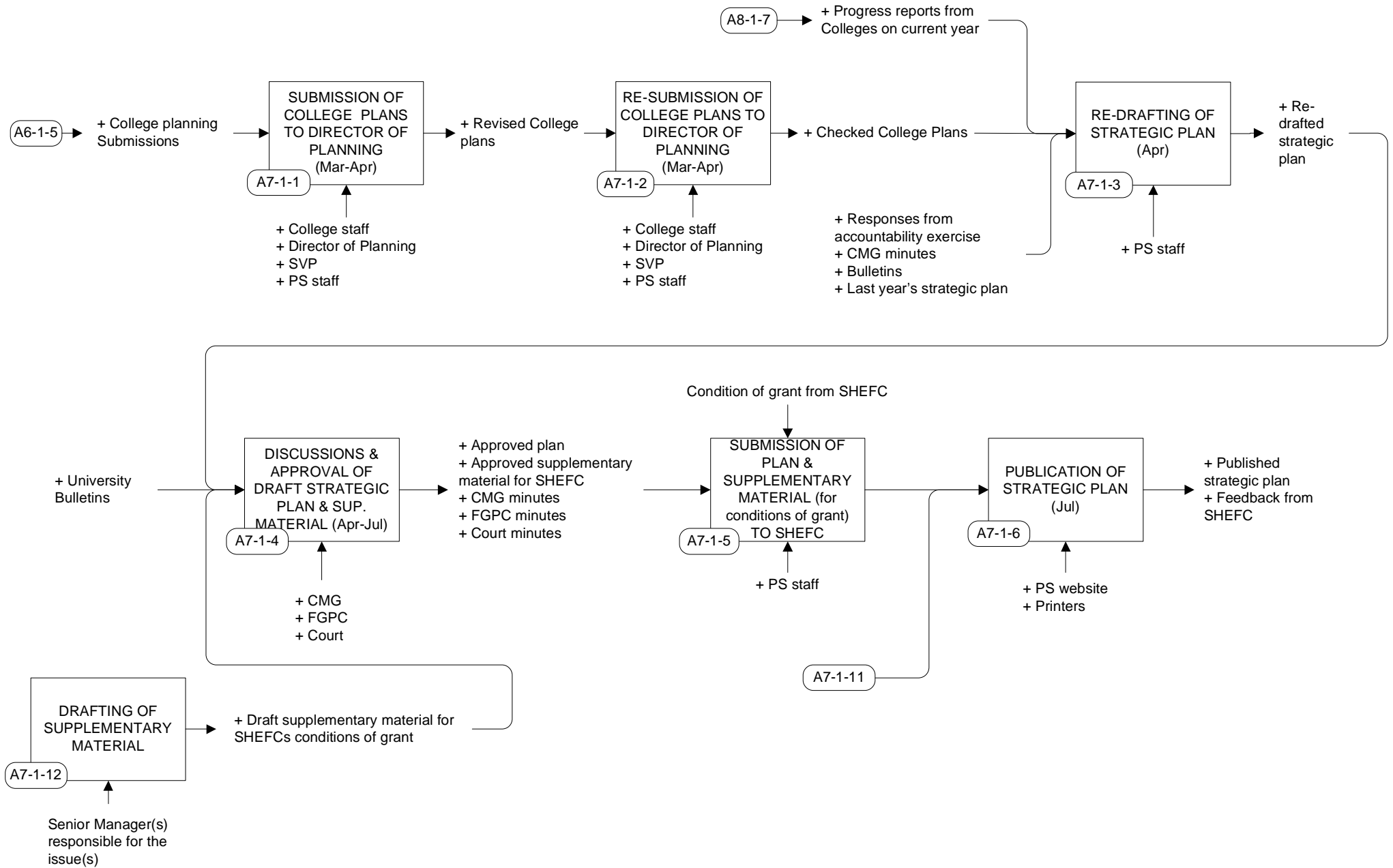
PRODUCING THE SCHOOL ANNUAL PLAN



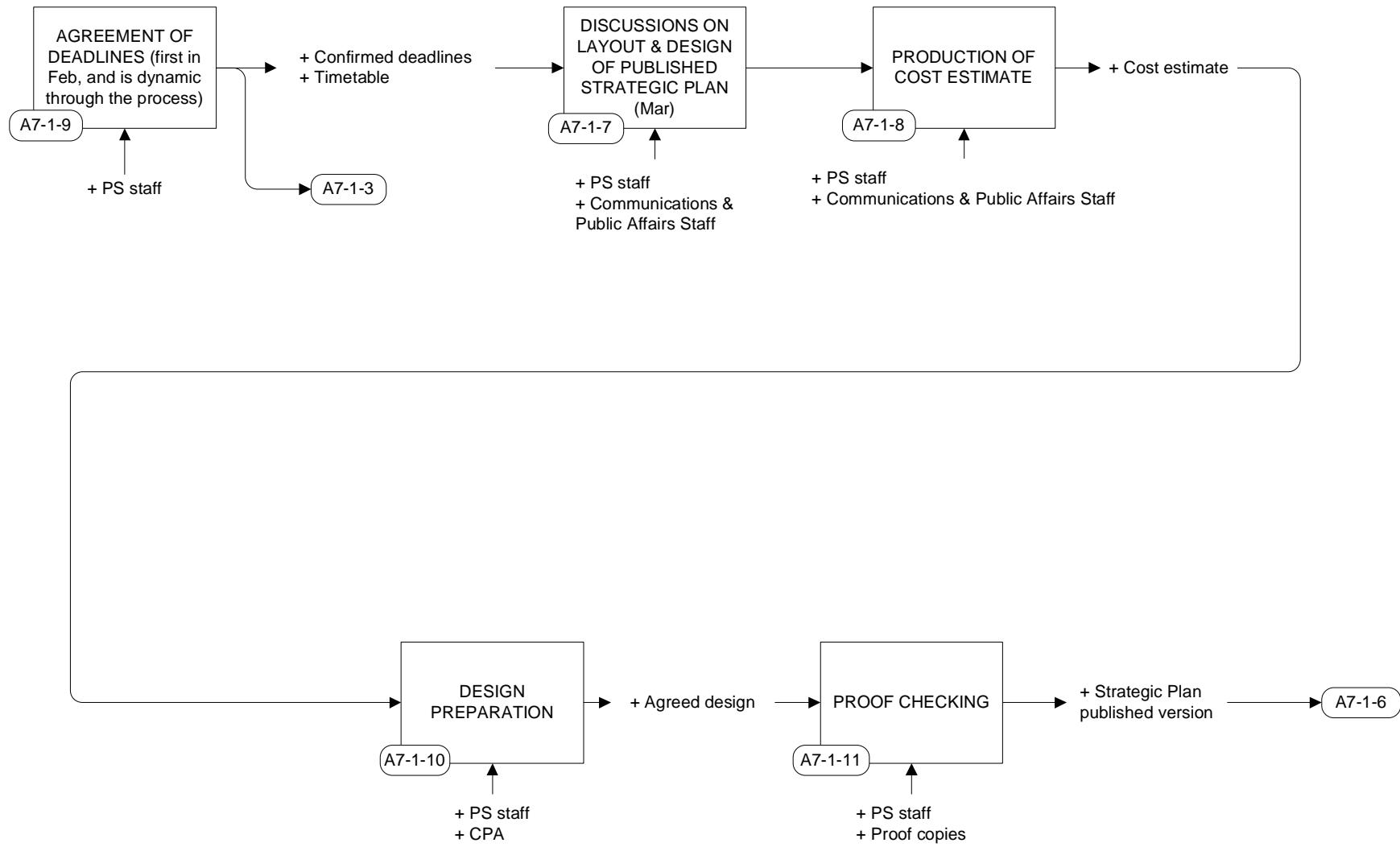
PRODUCING THE GROUP ANNUAL PLAN



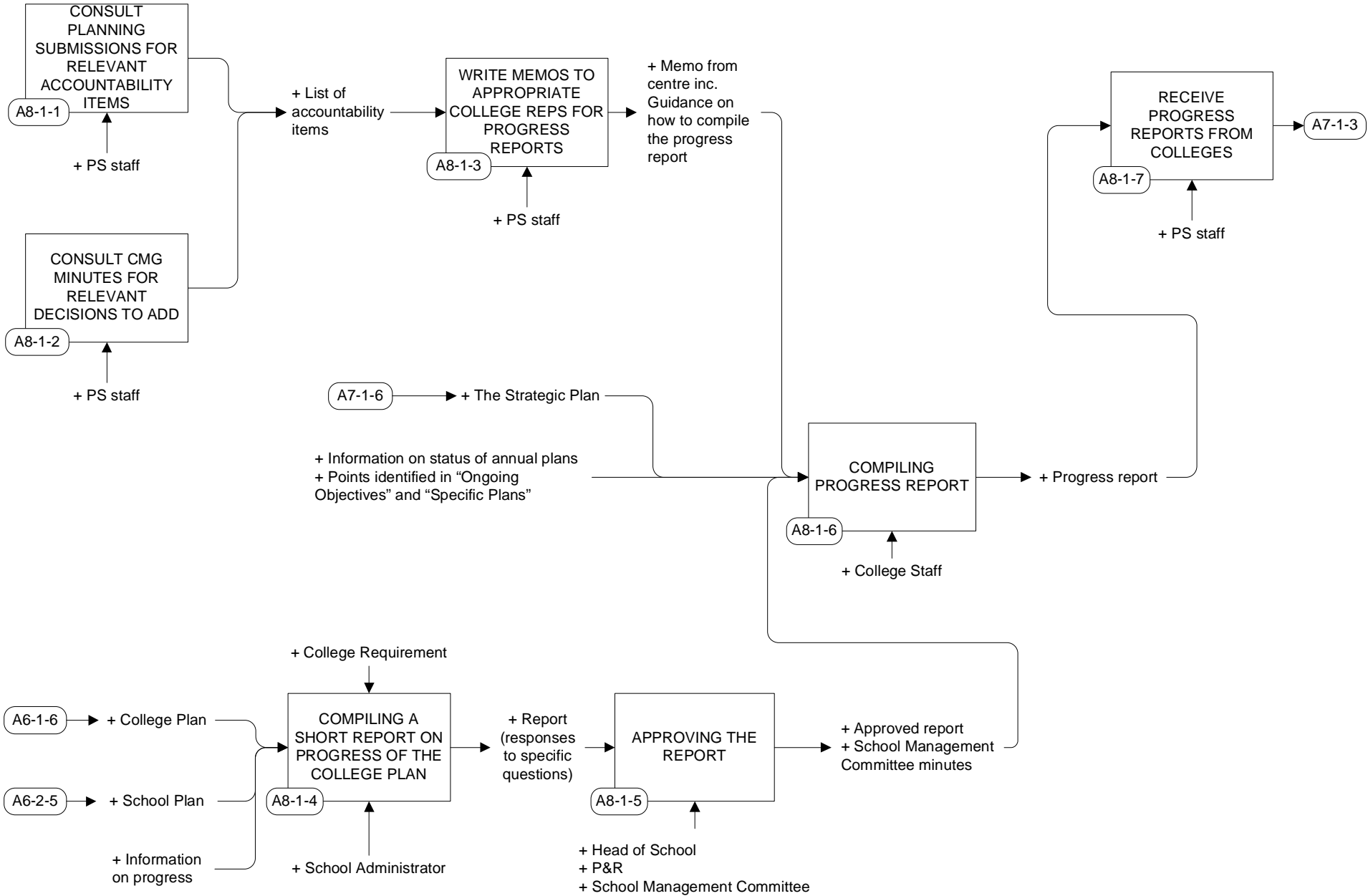
PRODUCING THE STRATEGIC PLAN



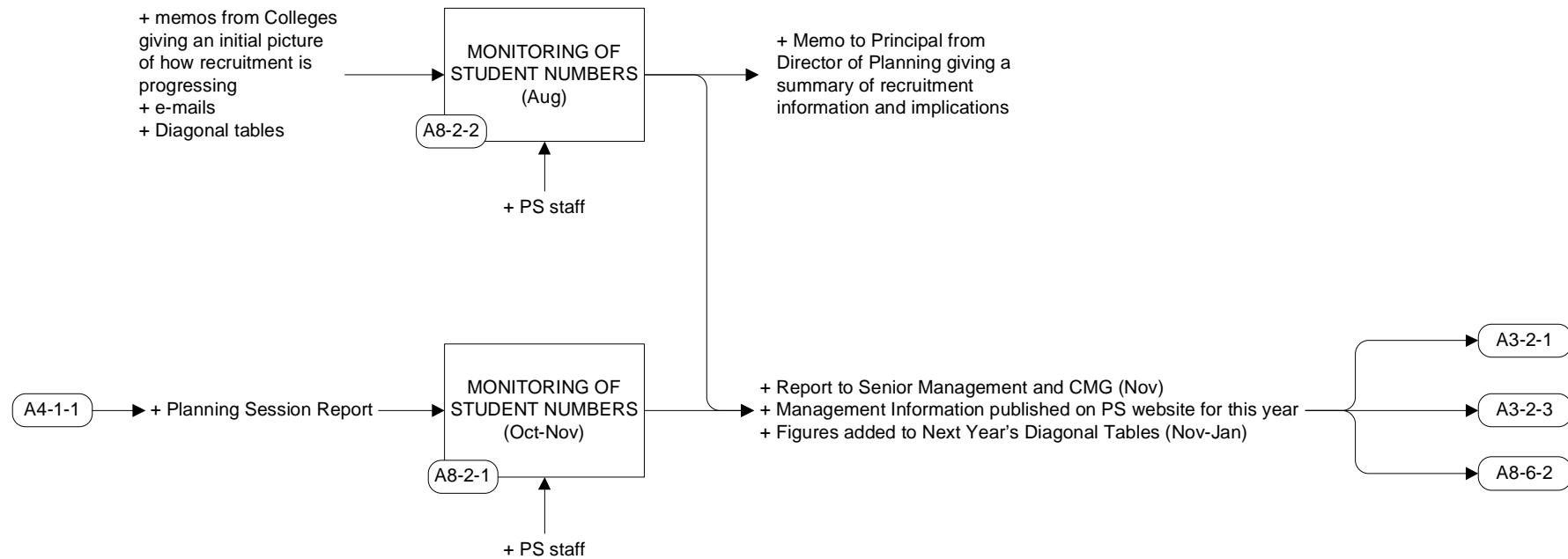
PRODUCING THE STRATEGIC PLAN



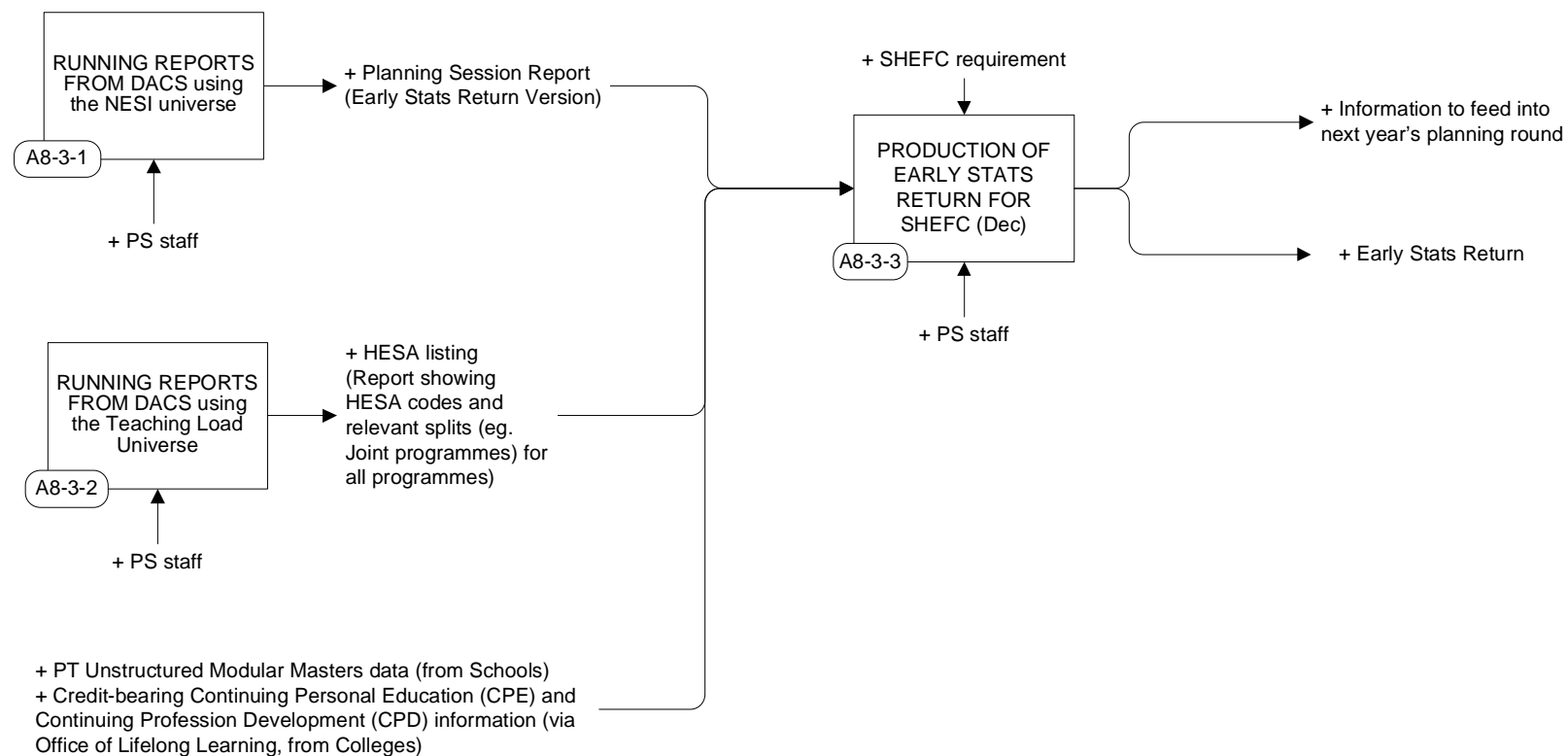
MONITORING PROGRESS : compiling accountability returns for inclusion in the Strategic Plan



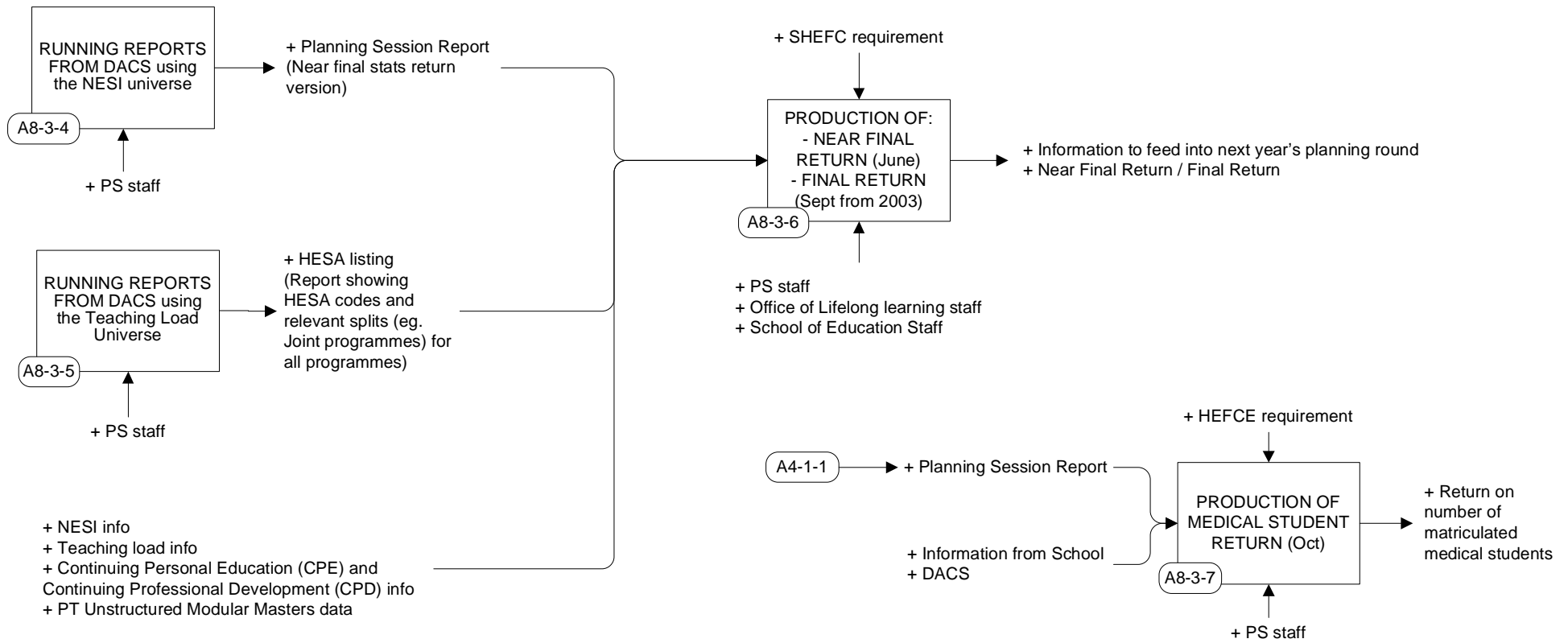
MONITORING PROGRESS: Student numbers



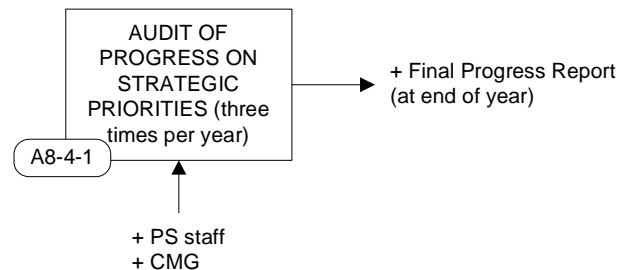
MONITORING PROGRESS: Production of Returns for funding bodies



MONITORING PROGRESS: Production of Returns for funding bodies, cont.



MONITORING PROGRESS: Audit of progress on strategic priorities

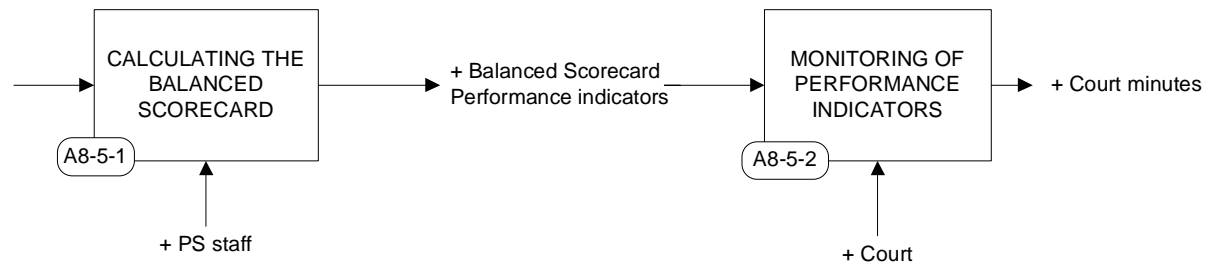


MONITORING PROGRESS: The balanced scorecard

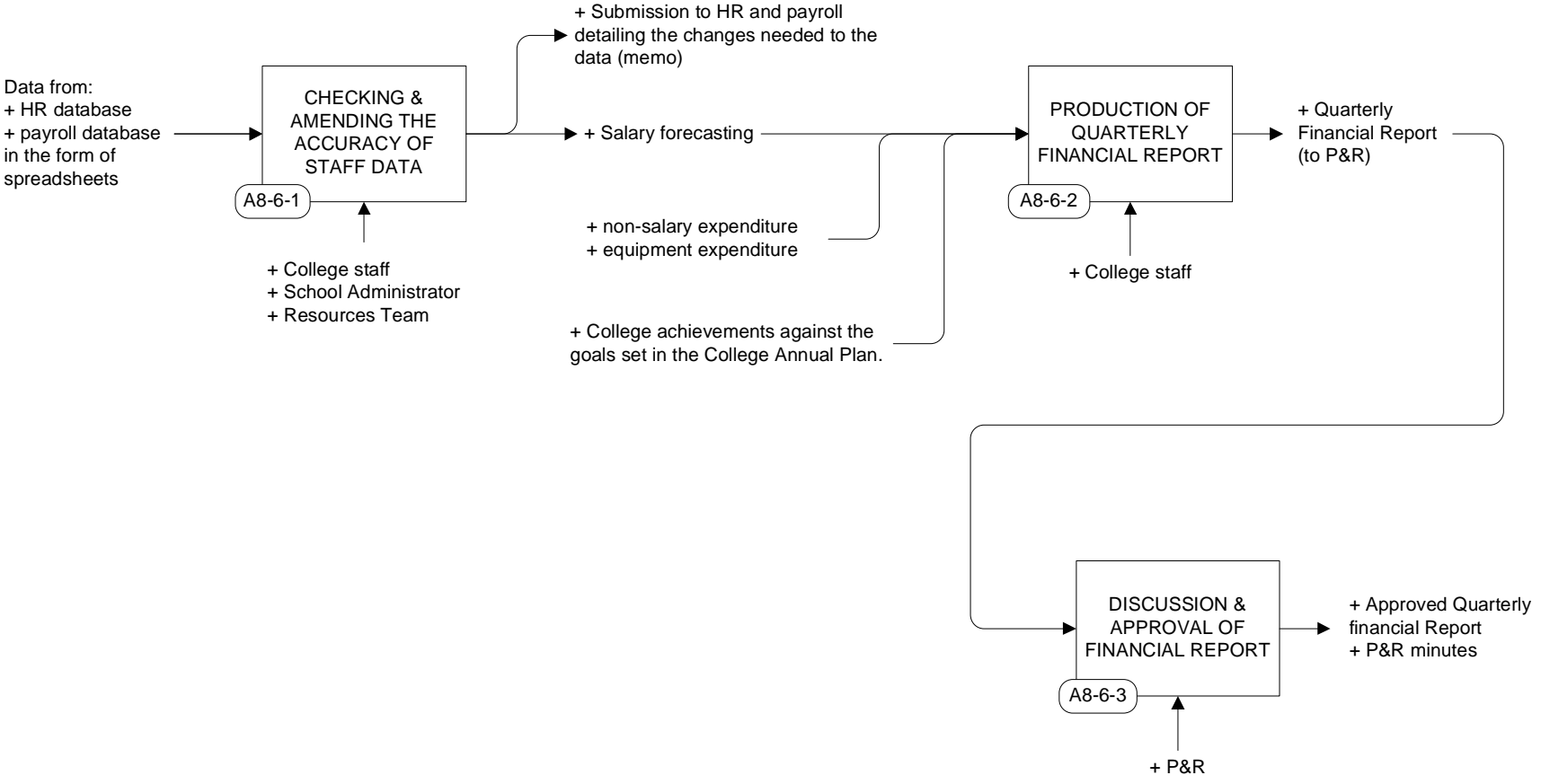
Balanced Scorecard Data:

- + Teaching load data
- + Planning session report

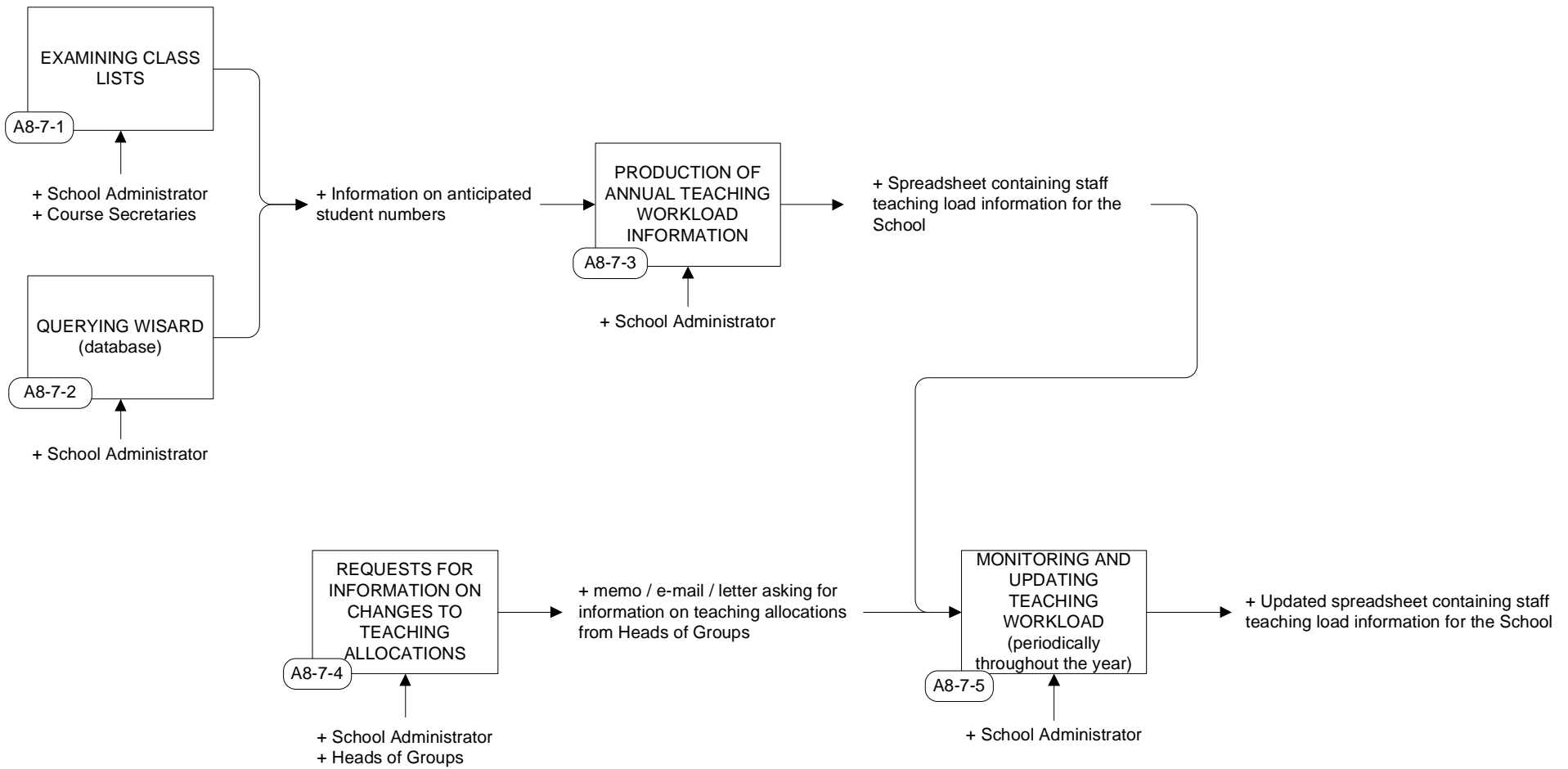
- + Shape of the student population information
- + Interdisciplinarity of curriculum data
- + Research grant applications per member of academic staff
- + Proportion of new appointments to Chairs who are women
- + Headcount of staff development attendees
- + Number of staff on fixed term contracts as percentage of all staff employed
- + Percentage of total income from non-formulaic funding sources
- + Historic cost surplus as percentage of turnover
- + Administrative operating costs as percentage of academic operating costs
- + Research indirect cost recovery contribution as percentage of total research income
- + Commercialisation of research (number of activities)
- + Fundraising
- + Ration current assets to current liabilities
- + Average annual cost of a full-time equivalent staff member
- + International student headcounts
- + Proportion of students achieving a First or Upper Second class degree
- + Widening participation data
- + Intake of home / EU students from ethnic minorities
- + Newspaper cuttings analysis
- + Percentage of academic staff in 5 and 5* RAE units of assessment
- + Number of full-time students per open access computing seat
- + Percentage of library stock issued by self-service
- + Proportion of central committees with an online service for members and the proportion of papers available on line
- + Total income per square metre of gross internal area
- + Capital expenditure and planned maintenance as percentage of estate value
- + Total property cost as percentage of University total income
- + Backlog maintenance spend required for the University to comply with the Disability Discrimination Act
- + Room Utilisation.



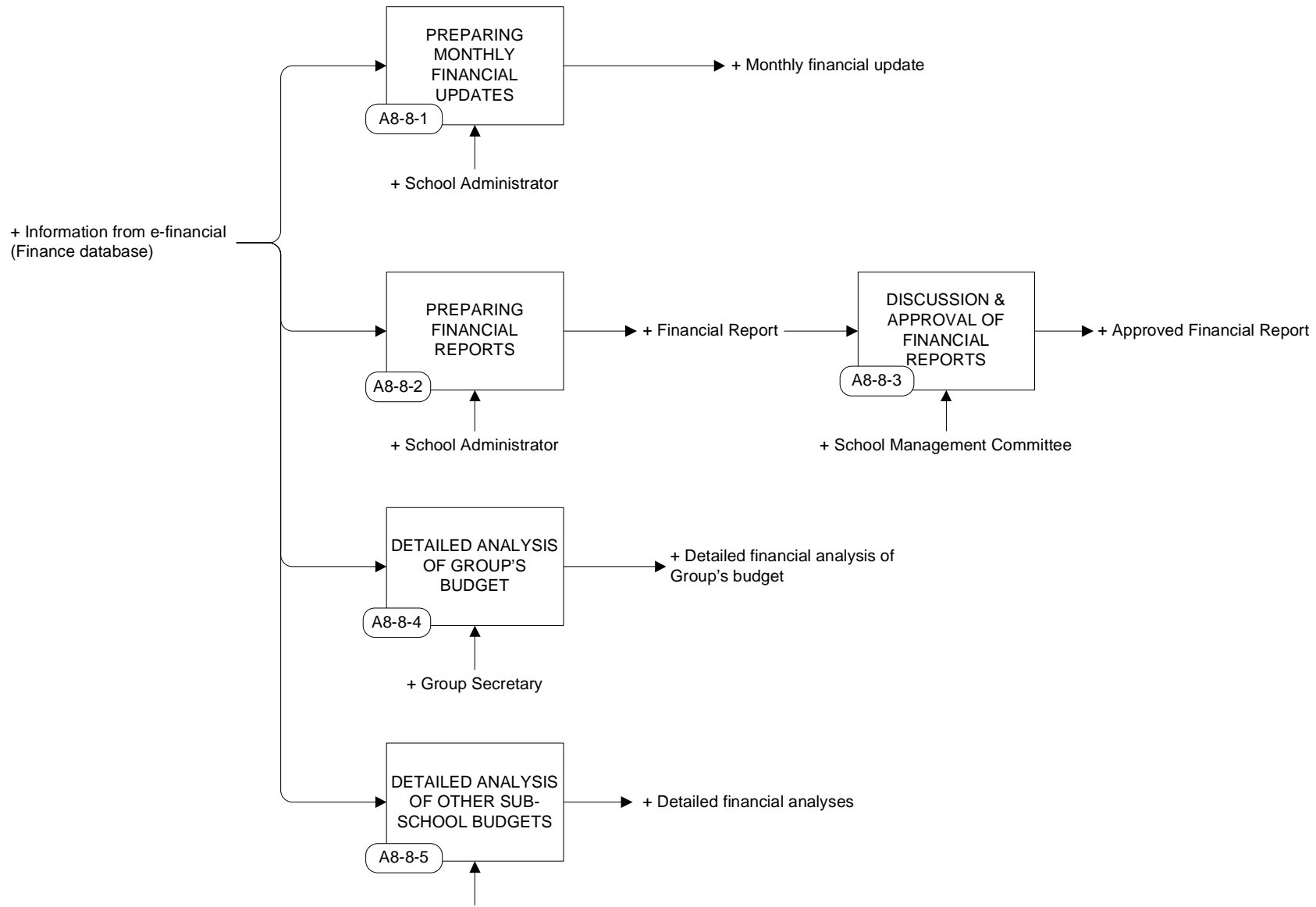
MONITORING PROGRESS: Retrospective financial monitoring by the College



MONITORING PROGRESS: School and Groups teaching workload



MONITORING PROGRESS: Financial accounting



- Eg:
- + Programme administrators
 - + Director of Postgraduate Studies
 - + School Computing Officer

APPENDIX THREE: RECORDS IDENTIFIED DURING THE MAPPING PROCESS

Records of the Planning & Strategy Functions

Ref.	Activity	Record	Format	Description	Location of record	Retention period	Explanation of retention period	Comments
A1-1	Agreeing Strategic Priorities: for whole University							
A1-1-1	Drafting of strategic priorities document	PSG minutes for last year	Word & pdf documents	For strategic priorities issues	PSG website	N/A	PSG minutes will be kept for longer than would be needed for this	
A1-1-1	Drafting of strategic priorities document	CMG minutes for last year	Word & pdf documents	For strategic priorities issues	CMG website	N/A	CMG minutes will be kept for longer than would be needed for this	
A1-1-1	Drafting of strategic priorities document	Draft strategic priorities paper	Word & pdf documents	Stating the University's long term strategic priorities	CMG website	N/A	CMG minutes will be kept for longer than would be needed for this	
A1-1-2	Discussion and approval of strategic priorities document	Approved paper stating the University's long term strategic priorities	webpage		CMG website	2 years	Contains same information as that on PS website (see A1-1-3, update document)	HS to check if it is a duplicate
A1-1-2	Discussion and approval of strategic priorities document	CMG minutes	Word & pdf documents	From meeting discussing and approving the draft paper	CMG website	N/A	CMG minutes will be kept for longer than would be needed for this	
A1-1-2	Discussion and approval of strategic priorities document	PSG minutes	Word & pdf documents	From meeting discussing and approving the draft paper	PSG website	N/A	PSG minutes will be kept for longer than would be needed for this	
A1-1-3	Communication of strategic priorities	Update document	PS website	Communicating the strategic priorities	PSG website	5 yrs	= timespan over which issues apply.	May need to keep for 1 PS more? Archival interes?

Ref.	Activity	Record	Format	Description	Location of record	Retention period	Explanation of retention period	Comments
A1-2	Agreeing Strategic Priorities: for Colleges and Schools							
A1-2-1	Drafting of college strategic priorities document	Last year's University Strategy Document	Electronic; "Glossy" hard copy		PS Website; School Administrator (sent copy by PS)	5yrs max (glossy copy held by SA)	College uses the website copy, School administrators use the glossy, hard copy for reference convenience. If required for reference the glossy copy	

A1-2-1	Drafting of college strategic priorities document	Last year's College and School Annual Plans	Hardcopy & Electronic R		College plan: hardcopy held by P&RC members; version on Web; School plans held by HoCollege, College Registrar + HWT; all saved on restricted drive; abridged versions circulated electronically to HoSchools. Members of the School Management Committee (circulated with SMC minutes)	College plan: indefinite School Plans: 5 years	College plan: historic value School plans: 5-year planning horizon	
A1-2-1	Drafting of college strategic priorities document	Draft paper of College Strategic Priorities	Hardcopy & electronic R		Members of CEG	Once final document has been agreed destroy all drafts	Superseded by next draft	
A1-2-1	Drafting of college strategic priorities document	CEG minutes	Hardcopy & electronic R	From meeting drafting strategic priorities document	Members of CEG	Review after 5 years		Archival interest?
A1-2-2	Discussion of College Strategic priorities	Feedback on draft paper of College Strategic Priorities	Hardcopy & electronic R	Gained at P&R	Members of P&RC	P&RC papers: review after 5 years		Archival interest?
A1-2-2	Discussion of College Strategic priorities	P&R minutes	Hardcopy & electronic R	From meeting discussing the draft paper of the College Strategic Priorities	Members of P&RC; HoS; School Administrator	P&RC papers: review after 5 years; HoS 1 year; SA 5 years	HoS for reference during current year; SA for reference.	Archival interest?
A1-2-2	Discussion of College Strategic priorities	School Management Committee minutes	Hard copy & electronic (shared drive)	From the meetings discussing the draft paper of College Strategic Priorities	Members of Management Committee; committee secretary / School secretary	Hard copy - committee member, nil; secretary 7 years. Electronic 3 years	Secretary's copy is 'approved'. Keep as a record of School's business. Electronic copy kept for reference	
A1-2-2	Discussion of College Strategic priorities	Correspondence	e-mail	Giving feedback on the draft paper of College Strategic Priorities	College Office staff	Destroy when task is complete		
A1-2-3	Re-drafting of College Strategic priorities document	Annual statement of College Strategic Priorities circulated to P&R members	Hardcopy & electronic R; School shared drive		Members of P&RC; shared drive; HoS and SA	Similar to P&RC papers: review after 5 years; HoS 1 year; SA 5 yrs	HoS for reference during current year; SA for reference. Paper kept with P&R minutes.	
A1-2-4	Communication of College Strategic priorities	Newsletter articles	Hardcopy & electronic (shared drive)	Announcing the College Strategic Priorities	HSS staff	Indefinite (college); 1 yr (group)	Business interest - where many decisions are communicated	
A1-2-4	Communication of College Strategic priorities	Correspondence	e-mail	Communicating the College Strategic Priorities to Heads of Schools	HoS e-mail folder	Destroy immediately for sender; others keep until official copy received		

A1-2-5	Initial Discussions of School Strategic priorities	School Management Committee minutes	Hard copy & electronic (shared drive)	From initial discussion of the School strategic priorities	Members of Management Committee; committee secretary / School secretary	Hard copy - committee member, nil; secretary 7 years. Electronic 3 years	Secretary's copy is 'approved'. Archival interest? Keep as a record of School's business.
A1-2-5	Initial Discussions of School Strategic priorities	Correspondence	e-mail	From interested individuals within the School and from stakeholders, adding to the discussions of the School strategic priorities	Members of the School and stakeholders	1 year; school level until HoS replies	To provide rationale for current year's plan, but will be superseded by following year's plan.
A1-2-5	Initial Discussions of School Strategic priorities	Away day minutes	Hard copy & electronic	From the School Away day at which the School strategic priorities were discussed	Members of Management Committee; committee secretary / School secretary	1 year; school level until HoS replies	To provide rationale for current year's plan, but will be superseded by following year's plan.
A1-2-6	Drafting of School Strategy document	Draft School strategy document	Hard copy & electronic		Members of Management Committee; committee secretary / School secretary	Hard copy - committee member, nil; secretary 7 years. Electronic 3 years	Will be a MC paper therefore retained on same basis as minutes
A1-2-7	Approval of School Strategy document	School Strategy document	Hard copy & electronic	With approval of the School Management Committee	Members of Management Committee; committee secretary / School secretary	Hard copy - committee member, nil; secretary 7 years. Electronic 3 years	Will be a MC paper therefore retained on same basis as minutes
A1-2-7	Approval of School Strategy document	School Management Committee minutes	Hard copy & electronic (shared drive)	From the meeting approving the School strategy document	Members of Management Committee; committee secretary / School secretary	Hard copy - committee member, nil; secretary 7 years. Electronic 3 years	Secretary's copy is 'approved'. Keep as a record of School's business.
A1-2-8	Communication of School P&R minutes		Hard copy & electronic	From the meeting at which the School strategy document is communicated	HoS and SA	HoS 1 year; SA 5 years (paper would be kept with minutes of P&R)	HoS for reference during current year; SA for reference.

Ref.	Activity	Record	Format	Description	Location of record	Retention period	Explanation of retention period	Comments
A2-1	Managing the Planning Process: by the Centre							
A2-1-1	Planning and compiling timetable for planning process	Committee dates	various	webpages/circulated calendars/committee minutes	various	N/A	records will be kept for longer than would be needed for this	

A2-1-1	Planning and compiling timetable for planning process	Initial budget paper	working paper / spreadsheet			Until final budget agreed + 1 year	
A2-1-1	Planning and compiling timetable for planning process	Draft timetable - CMG paper	Word & pdf documents	For the planning process	CMG intranet	N/A	CMG minutes will be kept for longer than would be needed for this
A2-1-1	Planning and compiling timetable for planning process	Document containing the planning assumptions, paper to CMG	Word & pdf documents	The planning assumptions are those assumptions that underly the planning process, eg. The scenarios to plan for. The information used to create the planning assumptions is information about the anticipated SHEFC grants which is gathered from informal intelligence gleaned from the government and SHEFC via the media, websites and phonecalls.	CMG intranet	N/A	CMG minutes will be kept for longer than would be needed for this
A2-1-1	Planning and compiling timetable for planning process	Paper to PSG	Word & pdf documents	Seeking approval for planning assumptions	PSG website	N/A	PSG minutes will be kept for longer than would be needed for this
A2-1-2	Agreement of Planning Assumptions	Agreed timetable	PS website	Approved by CMG and PSG	PS website	2 yrs	For use as starting point for following years' planning round timetables
A2-1-2	Agreement of Planning Assumptions	CMG minutes	Word & pdf documents	From the meeting approving planning assumptions	CMG intranet	N/A	CMG minutes will be kept for longer than would be needed for this
A2-1-2	Agreement of Planning Assumptions	PSG minutes	Word & pdf documents	From the meeting approving planning assumptions	PSG website	N/A	PSG minutes will be kept for longer than would be needed for this
A2-1-3	Publication of Planning Guidance (end Nov)	University Planning Guidance	PS website	For Colleges and Support Groups on the planning process	PS website	2 years	For use as starting point for following years' planning guidance

Ref.	Activity	Record	Format	Description	Location of record	Retention period	Explanation of retention period	Comments
A2-2	Managing the Planning Process: by the College							
A2-2-1	Planning and compiling the timetable and guidance notes	Document containing College Planning Timetable and guidance notes	College website R	Produced by the College to guide Schools	Members of P&RC	2 years	For reference when drafting subsequent Guidance(s)	
A2-2-2	Communication of the timetable and guidance for planning process	Correspondence	e-mail / letter	Communicating the College planning timetable and guidance notes to Heads of Schools	Members of P&RC	1 year for reference	For reference when drafting subsequent Guidance(s)	
A2-2-2	Communication of the timetable and guidance for planning process	CEG minutes	Hardcopy & electronic R	From the meeting at which the initial timetable and planning assumptions were announced.	Members of CEG	Review after 5 years		

A2-2-2	Communication of the timetable and guidance for planning process	P&R minutes	Hardcopy & electronic R	From the meeting at which the initial timetable and planning assumptions were announced.	Members of P&RC	Review after 5 years; HoS 1 year; current year. SA for reference SA 5 years(paper would be kept with minutes of P&R)	HoS for reference during	
A2-2-4	Issuing further guidance for planning process (Dec)	Revised College Planning Guidance	Hardcopy & electronic R	Issued by the College in reaction to the new information available from the Planning Section	Members of P&RC	2 years	For reference when drafting subsequent Guidance(s)	
A2-2-5	Communication of further guidance for planning process	Correspondence	e-mail / letter	Communicating the revised College Planning Guidance to Heads of Schools	Members of P&RC; HoS and SA	2 years ; nil for HoS and SA	For reference when drafting subsequent Guidance(s).	
A2-2-5	Communication of further guidance for planning process	Timetable and guidance	on College website		Restricted to members of P&RC & School Administrators	2 years	For reference when drafting subsequent Guidance(s)	
A2-2-5	Communication of further guidance for planning process	P&R minutes	Hardcopy & electronic	From the meeting at which the new guidance was communicated	HoS and SA	HoS 1 year; SA 5 years (paper would be kept with minutes of P&R)	HoS for reference during current year. SA for reference	No guaranteed involvement by P&RC by this stage;
A2-2-5	Communication of further guidance for planning process	CEG minutes		From the meeting at which the new guidance was communicated				No guaranteed involvement by CEG by this stage

Ref.	Activity	Record	Format	Description	Location of record	Retention period	Explanation of retention period	Comments
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**A3-1 Negotiating Resources:
Producing the budget**

A3-1-1	Informal discussions with finance	Correspondence	e-mail	From informal discussions between the Planning Section and Finance	DBN's Inbox	To end of following year's draft budget setting	For checking current year's budget and to inform following year's process	
A3-1-2	Informal discussions with HR	Correspondence	e-mail	From informal discussions between the Planning Section and Human Resources	DBN's Inbox	To end of following year's draft budget setting	For checking current year's budget and to inform following year's process	
A3-1-3	Informal lobbying by Colleges	Correspondence	e-mail	From informal lobbying by Colleges of the Planning Section, PSG and the Principal	Senior management's Inboxes; Personal from HoC	2 years (centre); end of task ie agreed budget (college)	For possible monitoring of budget spending	
A3-1-4	Production of Draft budget	Initial draft budget	spreadsheet	Estimates of income and single line budgets produced by Finance	PS website	To end of following year's draft budget setting	For checking current year's budget and to inform following year's process	

A3-1-4	Production of Draft budget	Initial draft budget	spreadsheet	Global NPRAS calculations	PS website	To end of following year's draft budget setting	For checking current year's budget and to inform following year's process
A3-1-5	Production of budget	List of budget priorities for decuding additional allocations to budgets	spreadsheet	Several versions all on same spreadsheet as budget evolves	PS intranet	To end of year following year applicable to.	For reference
A3-1-5	Production of budget (Apr)	Final agreed budget	spreadsheet	Showing baselines and adjustments. Vers 1 initially, with further versions as further adjustments agreed.	PS website	Final version: 5 years. Other versions: to end of year following year budget applicable to.	Final version: for reference to budgetary adjustments. Other versions: to track changes during year.
A3-1-5	Production of budget (Apr)	Final agreed budget	spreadsheet	Showing university budget	PS website	To end of year following year applicable to.	Main copy held by Finance; PS keep copy for communication via website.
A3-1-5	Production of budget (Apr)	Final agreed budget	spreadsheet	Showing NPRAS budgets	PS website	To end of year following year applicable to.	Shows workings, and inputs/outcomes held in other records
A3-1-5	Production of budget (Apr)	PSG minutes	Word & pdf documents	From meeting approving the final budget	PSG website	N/A	PSG minutes will be kept for longer than would be needed for this. College keeping a hard copy for reference
A3-1-5	Production of budget (Apr)	CMG minutes	Word & pdf documents	From meeting approving the final budget	CMG intranet	N/A	CMG minutes will be kept for longer than would be needed for this
A3-1-5	Production of budget (Apr)	FGPC minutes	Word & pdf documents	From meeting approving the final budget	Central filing	N/A	FGPC minutes will be kept for longer than would be needed for this. College keeping for reference.
A3-1-5	Production of budget (Apr)	Court minutes	Word & pdf documents	From meeting approving the final budget	Central filing	N/A	Court minutes will be kept for longer than would be needed for this. College keeping for reference.
A3-1-6	Receipt of College and Support Group planning submissions and student numbers	Data to update the Diagonal tables	Diagonal Tables	Version used to set budgets	PS website	CY+1 yr	Is a major version therefore for reference. The centre also keep the data for 10yrs
A3-1-6	Receipt of College and Support Group planning submissions and student numbers	College and Support Group planning submissions / plans	Word documents (centre); hard copy and electronic R (college)	To be checked by the Director of Planning	CMG intranet	Destroy once final plans approved	Main copy held by College/SG. Once draft finalised no need to keep earlier versions.

A3-1-7	Extracting forecast fee Income from diagonal tables	Projections of fee income and indirect cost recovery	spreadsheet	Attributable income sheet in spreadsheet which is used later in year to show NPRAS adjustment calculations	PS website; HoC /Accountant/Registrar	Final version: 5 years. Other versions: to end of year following year budget applicable to; CY+1 (college)	Final version: for reference to NPRAS adjustments. Other versions for ease of documentation for reference by Colleges and SGs.
A3-1-9	Receipt of SHEFC grant letter (Mar)	RAE results	Report (book)		Central filing	10 years	For reference and time series analysis. Results issued every 5/6years or so. Need to keep last two for reference.
A3-1-9	Receipt of SHEFC grant letter (Mar)	SHEFC grant letter	letter		Central filing	If on SHEFC website: 5 years. If not: 10 years	For reference
A3-1-10	Producing Space Management Returns	Data on space used (from EBIS)	Reports	For producing Space Management Returns	Archived in EBIS data warehouse	N/A	Data on EBIS will be kept longer than would be needed for this
A3-1-10	Producing Space Management Returns	Correspondence	e-mails, Word documents and spreadsheet; Electronic retrn via EBIS webpage (school).	From College and School Staff to EBIS with information on space taken up / given up this year	Space Planner's Inbox and H: drive	N/A	Data will be kept longer than would be needed for this as need to be able to track changes back to base year
A3-1-11	Data Analysis using I&EAM (Feb)	Budget rebalancing decision - CMG minutes	Word & pdf documents		CMG intranet	N/A	CMG minutes will be kept for longer than would be needed for this

Ref.	Activity	Record	Format	Description	Location of record	Retention period	Explanation of retention period	Comments
A3-2	Negotiating Resources: NPRAS in year adjustments to the budget							
A3-2-1	Fee Income monitoring	Updated Diagonal tables	Diagonal Tables	Latest version at time of calculating adjustments	PS website	CY+1	Major version therefore for reference (DTs are a particularly large file)	
A3-2-1	Fee Income monitoring	Updated fee income figures	I&EAM	%age fee income changes (by fee income group used in I&EAM) taken from DTs and input to I&EAM	PS website	Final version: 5 years. Other versions: to end of year following year budget applicable to.	Final version: for reference to NPRAS adjustments. Other versions for ease of documentation for reference by Colleges and SGs.	doesn't exist in it's own right

A3-2-3	Indirect cost recovery monitoring	Finance data for previous and current year	spreadsheet	Original from Finance and amended by PS to show adjustment.	PS website	Final version: 5 years. Other versions: to end of year following year budget applicable to.	Final version: for reference to NPRAS adjustments. Other versions for ease of documentation for reference by Colleges and SGs.	doesn't exist in it's own right
A3-2-2	Data analysis using an element of the I&EAM (Jan-Aug)	Updated forecasts of: fee income; indirect cost recovery figures and calculation of adjustments	spreadsheet	Next version of A3-1-7, projections of fee income and indirect cost recovery spreadsheet.	PS website	Final version: 5 years. Other versions: to end of year following year budget applicable to.	Final version: for reference to NPRAS adjustments. Other versions for ease of documentation for reference by Colleges and SGs.	doesn't exist in it's own right
A3-2-4	In year budget adjustments (Jan-Aug)	Adjusted figures for College budgets	spreadsheet	Updated version of budget adjustments spreadsheet (as per A3-1-5, final agreed budget).	PS website	Final version: 5 years. Other versions: to end of year following year during year budget applicable to.	Final version: for reference to budgetary adjustments. Other versions to track changes year.	

Ref.	Activity	Record	Format	Description	Location of record	Retention period	Explanation of retention period	Comments
A3-3	Negotiating Resources: Producing the College Budget							
A3-3-2	Preparation of Indicative budgets for Schools	Document containing Indicative budgets and data from I&EAM	Hard copy and electronic	To be sent to Schools	HoS and SA	5 yrs for final version; CY+1 for interim version; Until receipt of actual budget (school)		

Ref.	Activity	Record	Format	Description	Location of record	Retention period	Explanation of retention period	Comments
A3-4	Negotiating Resources: Allocation by College to Schools of the in year adjustment to the College budget							
A3-4-1	Agreeing (in advance) the P&R minutes parameters for the division of in year budget adjustments		Hard copy and electronic	From the meeting at which it was agreed (in advance) the parameters for the division of the in year budget adjustment	HoS and SA	HoS 1 year, SA 5 years	HoS for reference during current year. SA for reference	

A3-4-2	Allocation of in year adjustment to College budget between Schools	Adjusted Schools budgets	spreadsheet on College website; hard copy	From the allocation of the in year adjustment to the College budget	Would like this to happen, but not up and running yet; HoS and SA	SA 3 yrs +1yr	for reference and future comparisons
A3-4-3	Communication	Correspondence	E-mail; Letter	To Heads of Schools communicating the allocation of the adjusted College budget between Schools	College Accountant / HWT; HoS	Review after 5yrs	Could end up as part of P&R papers

Ref.	Activity	Record	Format	Description	Location of record	Retention period	Explanation of retention period	Comments
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A3-5 Negotiating Resources: Applications to Central funding sources

A3-5-1	Applications to the Central Funding Reserve	Funding applications to the Central Funding Reserve	Hardcopy and electronic (shared drive)	Produced by College and submitted to the Centre	HoCollege/Registrar/HWT/Accountant	CY+1	Often a 3-year term
A3-5-1	Applications to the Central Funding Reserve	Rules for the applications	Hardcopy/electronic attachment	Set either by CMG, the Planning Section or possibly by SHEFC (depending on the particular fund)	HoCollege/Registrar/HWT/Accountant	Hardcopy kept until end of funding period	Often a 3-year term

Ref.	Activity	Record	Format	Description	Location of record	Retention period	Explanation of retention period	Comments
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A3-6 Negotiating Resources: Producing the School budget

A3-6-1	Requesting estimate of Group budget requirements	Correspondence	e-mails	From the School Administrator to the Heads of Groups requesting an estimate of the Group's budget requirements	School Administrator, heads of Groups, head of School	until budget request is received from HoG	retain as a reminder
A3-6-2	Submission of Groups' statements of needs	Subject Groups' statements of needs	e-mail ; hard copy	Received by the School	School Administrator, heads of Groups, head of School	1 year	for reference in setting following year's budgets.
A3-6-3	Estimation of in year fee incentive budget transfer (from College)	Estimate of the in year budget adjustment that the School might expect to receive			School administrator, HoS	Until actual in year budget adjustment confirmed	Estimate is superseded by actual
A3-6-4	Production of draft School budget	Draft School budget		Produced by the School Administrator	Schol administrator, head of school	Planning yr +1	
A3-6-5	Meetings to discuss draft school budget (as it affects groups)	Notes of results of discussions		Between the Head of School, the School Administrator and each Head of Subject Group in turn	School administrator	1 year	for reference in setting following year's budgets.
A3-6-6	Revising the School budget	Revised School budget	spreadsheet	Including the consequences of varying MBA student numbers	School administrator	CY+1	Unitil numbers are known
A3-6-7	Discussion and agreement of revised School budget	Revised School budget with Head of School approval	spreadsheet		School Administrator, members of the School Mgt. Committee	1 year	

A3-6-8	Approval of School budget	Approved School budget	spreadsheet	Including devolved budgets to Heads of Groups. Approved by the School Management Committee	School Administrator, members of the School Mgt. Committee	1 year		
A3-6-8	Approval of School budget	School Management Committee minutes		From the meeting which approved the School budget	Members of Management Committee; committee secretary / school secretary	hard copy - committee members, nil; secretary 7 years; electronic 3 years		

Ref.	Activity	Record	Format	Description	Location of record	Retention period	Explanation of retention period	Comments
A3-7	Negotiating Resources: School bids for extra funds							
A3-7-1	Issuing of invitation to Schools to apply for funding from the College SIF	P&R minutes	hard copy	From the meeting issuing the invitation to Schools to apply for funding from the College Strategic Initiatives Fund, also including the guidelines for applications.	HoS and SA	HoS 1 year; SA 5 years		
A3-7-2	Discussion of School Funding bid	School Management Committee minutes		From the meeting that discussed the School's funding bid to the College SIF.	Members of Management Committee, committee secretary / School secretary	Hard copy - committee members nil; secretary 7 years, electronic 3 years		
A3-7-3	Preparation of School bid for funds	School's funding bid to the College SIF	hard copy, electronic		School Administrator	1 year	for reference	
A3-7-4	School approval of School bid for funds	Approved School funding bid to College SIF	hard copy, electronic	Approved by the School Management Committee	School Administrator		part of P&R papers therefore same rules as for P&R minutes	
A3-7-4	School approval of School bid for funds	School Management Committee minutes	hard copy, electronic	From the meeting at which the School funding bid was approved	Members of Management Committee, committee secretary / School secretary	Hard copy - committee members nil; secretary 7 years, electronic 3 years		
A3-7-6	Assessment and discussion of School bids	Summary of bids and recommendations	tabular form	Compiled by the College Registrar		Destroy when superceded		
A3-7-6	Assessment and discussion of School bids	CEG minutes	Hardcopy & Electronic R	From the meeting at which the Schools' bids were discussed	Members of CEG	Review after 5 years		
A3-7-7	Allocation of College SIF	P&R minutes		From the meeting at which the SIF allocation was approved				

A3-7-8	Making arrangements to receive the funding	Correspondence	e-mail	From College Registrar to Head of School confirming University level agreement of the School's funding bid to SIF	Registrar, HoS and SA	3 years + 1yr	Event horizon of bids	
A3-7-8	Making arrangements to receive the funding	Correspondence	e-mail	Between School Administrator and College Accountant making arrangements for the School to receive the funds	Accountant, SA	Once budget allocation is in right place		

Ref.	Activity	Record	Format	Description	Location of record	Retention period	Explanation of retention period	Comments
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A3-8 Negotiating Resources: Production of statement of needs by Group

A3-8-1	Projecting teaching workload	Course booklets	hard copy, electronic	From course organisers, including information about contact hours and assessments	course organisers, cours secretaries	5 years	length of degree course + 1 year	This item will not be carried forward into the retention schedule as it will be dealt with in the context of a teaching retention schedule.
A3-8-1	Projecting teaching workload	Projected teaching workload	hard copy, electronic - excel spreadsheet		heads of group, group secretaries, members of group	versions kept 1 yr	Dynamic database	
A3-8-2	Projecting ability to cover teaching workload	Projected shortfall in teaching workload	electronic, hard copy		HoG	1 year	for reference	
A3-8-3	Creating a wish list of casual teaching requirements	Wish list of casual teaching requirements	electronic, hard copy, e-mail		Heads of group, members of group	1 year (School); until decision taken (group)	for reference	
A3-8-4	Assessment of Requirements	Requirements			Heads of group, members of group			
A3-8-5	Production of statement of needs by sub-group groups	statements of needs by sub-group groups			SA and potential budget holders, eg director of PG studies, School computing officer	1 year (school); until decision taken (group)		
A3-8-6	Production of Group statement of needs	Subject Group statement of budgetary needs	electronic, hard copy, e-mail	Submitted to School	Heads of Group, SA	1 year	for reference	

Ref.	Activity	Record	Format	Description	Location of record	Retention period	Explanation of retention period	Comments
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A4-1 Data Analysis: production and use of the Planning Session Report

A4-1-1	Running reports from DACS using the NESI universe	Planning Session Report	spreadsheet	Containing extracted data from DACS	PS shared drive	End of year data: permanent; SHEFC return extracts 4 years; others CY + 1	End of year: source data for many analyses and enquiries. For SHEFC returns: SHEFC audit requirements. Remainder: for reference
A4-1-2	Creation of Diagonal Tables to forecast student numbers and fee income	Teaching load reports	spreadsheet	Extracted from BO to Excel. Used to create the diagonal tables	PS shared drive	End of year data: CY+1; others to end of year	For reference/queries
A4-1-2	Creation of Diagonal Tables to forecast student numbers and fee income	Diagonal tables	spreadsheet		PS website	NPRAS calcs version and end yr version CY+1; all others to end of year.	For reference (DTs are a particularly large file and versions for subsequent years hold virtually all of data from previous years)
A4-1-3	Publishing routine management information	Management Information	Various tables and charts	Management Information is the information available to University administrators from the Planning Section, much of which is published regularly on the PS website. It includes analyses of data which relate to the University's: students; staff; finances; research; estates and buildings; facts and figures. And analyses of data which compare HEIs in Scotland and the UK: student analyses; applicants analyses; staff analyses; financial analyses; research analyses; by HESA cost centre.	PS website	Minimum 10 years, much archival	Much of information is of significant value to the University, but some (e.g. ad hoc queries or time series analyses which have been augmented in later years) can be disposed of.
A4-1-4	Answering ad hoc management information queries	Correspondence	e-mails, letters, memos		PS Inboxes. If info of wider interest, published on PS website with other Mgt Info	CY+1 minus; others as above	May be repeat requests for ad hoc queries the following year.
A4-1-5	Calculating Special Fee Incentive Scheme awards for ex-NPRAS programmes	Fee Incentive Scheme Calculation (for those done by PS)	webpage	e.g. MBA, Diploma in Legal Practice	PS website	5 years	For reference
A4-1-6	Publishing full planning session report	Full planning session report	PS website	student data for Schools and Colleges (restricted)	PS website	5 years	For Colleges to be able to do time series analysis. Any earlier data can be accessed from Planning Session source data Bruce Johnson keeping HESA data permanently.

Ref.	Activity	Record	Format	Description	Location of record	Retention period	Explanation of retention period	Comments
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**A4-2 Data Analysis:
Production of HESA
Student Return and
reconciliation with
SHEFC Early Stats
Return**

A4-2-1	Drafting HESA student return	Draft HESA Student Return	Database table	Drafted by Registry staff (as many times as wish)	DACS	Until next draft or final return run	Overwritten by next run of report.
A4-2-2	Checking of the draft HESA student return	Finalised HESA student Return	Database archive	Checked by the Planning Section & Registry	HESA Datamart	Permanent	For reference. One solid benchmark of student records.
A4-2-3	Submission of HESA Student Return	Selected sectoral statistics	spreadsheets	From HESA	PS intranet	10 years; weed and keep remainder permanently.	Much of information is of significant value to the University, and may be of use in time series analyses in future. However, large amount of data so need to be selective.
A4-2-3	Submission of HESA Student Return	Selected statistics for the University	spreadsheet	From SHEFC. comparative stats from HESA & 'Final' Returns	PS Intranet	2 yrs after reconciliation finalised	Record for comparison when undertaking process each year, as an initial aid/check
A4-2-4	Reconcile HESA and SHEFC returns	Response to SHEFC	Word document	Explanation of differences between 2 returns	PS intranet	5 years	For reference/queries in case of audit.

Ref.	Activity	Record	Format	Description	Location of record	Retention period	Explanation of retention period	Comments
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**A4-3 Data Analysis:
checking centrally held data**

A4-3-1	Checking College teaching load data and review weightings (Nov, Jan, May, Jul)	Updated teaching load data	database. Download reports, electronic	College staff add TL details to programme/course records already in DACS	DACS; School Administrator	Teaching load is updated and overwritten	Database shows only current snapshot and does not hold historic data. Data will remain on DACS for course/programme records even after the course/programme is closed or no longer offered.
A4-3-2	Answering enquiries	Correspondence	e-mails, letters, memos	Answering enquiries about teaching load data	PS staff Inbox, School Administrator, HWT	To production of next usable event	Once enquiry sorted and database updated, only need for reference until following year's data produced.
A4-3-3	Running Teaching Load "Events"	Tables of teaching load data	PS webpage & BO reports	partial snapshots of the database for various points in the year	PS website & BO/WEBI; HWT	10 years	For reference and time series analysis

A4-3-4	Preparation of end of year teaching load figures (31 July)	Teaching load figures	spreadsheets	To input into the management tools used by PS (eg. I&EAM, and diagonal tables)	PS shared drive	For major versions: CY+1; others to end of year; I&EAM CY+1	For reference/queries
A4-3-5	Checking and amending the accuracy of student data	Submission to registry detailing the changes that need to be made to Student data					
A4-3-6	Producing accurate student staff ratios	Student Staff Ratios	spreadsheet	Used by Schools	SA, HoS, HoGs	10 years (college) 5 years (school)	The college's set of student staff ratios is different from the School's.

Ref.	Activity	Record	Format	Description	Location of record	Retention period	Explanation of retention period	Comments
A5-2	Organisational Development: of units within Colleges							
A5-2-1	Formulating an idea to change part of the College hierarchy	Proposal	verbal	To change part of the University hierarchy originating in the College. The idea often comes about as part of the planing round.				
A5-2-2	Discussion and approval of proposal by College	Proposal to change the hierarchy with College approval paper to P&RC	Hardcopy & Electronic R	Approved by Head of College and P&R	Members of P&RC			
A5-2-2	Discussion and approval of proposal by College	P&R minutes	Hardcopy & Electronic R	From meeting at which the proposal to change the hierarchy was approved	Members of P&RC			
A5-2-3	Review current College Hierarchy (Feb/Mar)	Current hierarchy	spreadsheet/BO reports	Provided to College representatives by Planning Section.	PS website/ BO/WEBI; HWT	5 years		
A5-2-3	Review current College Hierarchy (Apr)	Correspondence	e-mail	From the Planning Section to College reps asking if there are any revisions to be made to the hierarchy	PS Inbox; HWT	6 months (PS); College until complete		
A5-2-3	Review current College Hierarchy (Apr)	Guidance notes	webpage	Produced by the Planning Section on how to change the hierarchy (from 2004)	PS website; HWT		While version current	
A5-2-4 & A5-2-4	Drafting proposal to change the hierarchy	Draft proposal to change the hierarchy	spreadsheet		Master copy in College; HWT	College - 2 years		
A5-2-4 & A5-2-4	Drafting proposal to change the hierarchy	Correspondence	e-mail	Between the instigators of the change and the Planning Section	PS Inbox; HWT	Changes agreed+1 year		
A5-2-6	Check proposal for administrative purposes	Database coding	spreadsheet/OrgMI database	To ensure that codes aren't reused	PS website / OrgMI database	For lifetime of organisational hierarchy		

A5-2-6	Check proposal for administrative purposes	Correspondence	e-mail	Between the Planning Section and the database owners	PS Inbox	Changes agreed+1 year		
A5-2-6	Check proposal for administrative purposes	Correspondence	e-mail	From Planning Section suggesting revisions to the proposals	PS Inbox; HWT	Changes agreed+1 year		
A5-2-6	Check proposal for administrative purposes	Correspondence	e-mail	Between the Planning Section and the database owners and the instigators of the change	PS Inbox; HWT	Changes agreed+1 year		
A5-2-7	Discussion and revision of proposal	Correspondence	e-mail		PS Inbox; HWT	Changes agreed+1 year		
A5-2-7	Discussion and revision of proposal	Revised proposal	spreadsheet; e-mail		PS shared drive; HWT	To implementation of final version (college); 2 years (centre)		
A5-2-8	Approval of proposal	Approved proposal to reorganise	paper: hardcopy/electronic R (HWT)		PS website; members of CEG	5 years	For reference and tracking back changes.	
A5-2-8	Approval of proposal for changes at level 5 and below	Correspondence	e-mail, letter	From Head of College to instigators of the change confirming approval	HoC, HoS, personal copies			
A5-2-8	Approval of proposal for changes at level 5 and below	P&R minutes		From meeting at which the proposal to reorganise was approved	Members of P&RC	n/a		
A5-2-8	Approval of proposal for changes at level 5 and below	School Management Committee minutes		From meeting at which the proposal to reorganise was approved		n/a		
A5-2-9	Approval of proposal for changes at level 4 and above	APC minutes	Word & pdf documents	From meeting at which the proposal to reorganise was approved	Secretary to APC	n/a		
A5-2-9	Approval of proposal for changes at level 4 and above	PSG minutes	Word & pdf documents	From meeting at which the proposal to reorganise was approved	PSG website	n/a		
A5-2-9	Approval of proposal for changes at level 4 and above	CMG minutes	Word & pdf documents	From meeting at which the proposal to reorganise was approved	CMG intranet	n/a		
A5-2-9	Approval of proposal for changes at level 4 and above	Senate minutes	Word & pdf documents	From meeting at which the proposal to reorganise was approved	Secretary to Senate	n/a		
A5-2-10	Implementation	New hierarchy on OrgMi	database		OrgMI database	Lifetime of database	database restrictions	
A5-2-10	Implementation	XML extract from the OrgMi database	2 XML files	Snapshot for historical reporting	MIS server, via PS website	Possible inclusion in data warehouse		
A5-2-11	Checking the new hierarchy	Correspondence	e-mail	comments from College reps to PS staff	PS Inbox; HWT	changes agreed + 1 year		

Ref.	Activity	Record	Format	Description	Location of record	Retention period	Explanation of retention period	Comments
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A6-1	Producing the College Annual Plan							
A6-1-1	Drawing up of data from the centre	Budget data	spreadsheet - PS website					
A6-1-1	Drawing up of data from the centre	Forecasts of student numbers	spreadsheet - PS website					
A6-1-1	Drawing up of data from the centre	Actual student numbers	spreadsheet - PS website					
A6-1-3	Preliminary discussions (whilst School plans are being prepared)	Correspondence	e-mail	From Schools to Head of College	HoColege/Registrar/HWT; HoS		Destroy when school plan prepared	
A6-1-4	Drafting the College plan	College Executive Group minutes	Hardcopy & electronic R	From meeting drafting the College plan	Members of CEG		n/a	
A6-1-4	Drafting the College plan	Draft College Plan	Hardcopy & electronic R		Members of P&R		n/a	
A6-1-5	Checking the College plan	"Final" College plan	Hardcopy & electronic R	May still be revised following discussions with the Director of Planning	Members of P&R		Until final version prepared	
A6-1-5	Checking the College plan	P&R minutes	Hardcopy & electronic R	From meeting approving the "Final" College plan	Members of P&R		Permanent	
A6-1-6	Revision of the College plan	Revised College Plan	Hardcopy & electronic R	As a result of two stage discussions with the Director of Planning	Members of P&R		n/a	
A6-1-7	Approval of the College Annual Plan	Approved College Plan	College website	Approved by CMG	HSS staff		Permanent	College version is the master
A6-1-7	Approval of the College Annual Plan	CMG minutes	PS website (restricted)	From the meeting approving the College Plan			n/a	
A6-1-9	Checking Shool plans for consistency and student numbers	Checked planning submissions from schools / Revised School Plans	e-mail	Checked by College staff for consistency	HWT/Sadministrators		Until task completed	
A6-1-9	Checking Shool plans for consistency and student numbers	Correspondence	e-mail	Between College and School staff	HWT		Until task completed	
A6-1-10	Discussions	Revised School plans	Hardcopy & electronic		See A1-2-1, last year's College and School annual plans, for details.; SA; HOS		5 years	For reference

Ref.	Activity	Record	Format	Description	Location of record	Retention period	Explanation of retention period	Comments
A6-2	Producing the School Annual Plan							
A6-2-1	Receipt of planning request and instructions from College	Correspondence	e-mail, memo	From College requesting the submission of the School's annual plan and sending out the guidelines	HoS, SA, college	1 year		
A6-2-1	Receipt of planning request and instructions from College	Planning Guidance from College			HoS, SA, college	1 year		

A6-2-2	Drafting and issuing planning instructions to Groups	Correspondence	e-mail, memo	From the Head of School to Heads of Groups requesting a planning submission	HoS, SA, Heads of Groups	1 year	At group level, working papers only
A6-2-2	Drafting and issuing planning instructions to Groups	Planning Guidance from School to Group			HoS, SA, Heads of Groups	1 year	
A6-2-3	Drafting the Annual School plan	Draft School Annual Plan			HoS, SA	1 year	
A6-2-4	Discussion of the Annual School plan	School Management Committee minutes		From the meeting at which the draft school plan was discussed	Members of Management Committee; committee secretary . School secretary	n/a	
A6-2-5	Revising the Annual School plan	Final School Plan			HoS, SA	5 years	

Ref.	Activity	Record	Format	Description	Location of record	Retention period	Explanation of retention period	Comments
A6-3 Producing the Group Annual Plan								
A6-3-1	Drafting of proposals to alter / create courses	Course proposals	electronic, hard copy		academic staff generating proposals, Heads of Groups	1 year		
A6-3-2	Discussion and approval of course proposals	Approved course proposals	electronic, hard copy	Approved by the Head of Group	Heads of Group, UG or PG Studies committee members, committee secretaries	Until reaches relevant committee		
A6-3-2	Discussion and approval of course proposals	Undergraduate studies committee minutes	electronic, hard copy	From the meeting approving the course proposals	UGStudies committee members, committee secretary, School Secretary	7 years; committee members nil; electronic 3 years; committee sec 1 year	School secretary -	
A6-3-2	Discussion and approval of course proposals	Postgraduate studies committee minutes	electronic, hard copy	From the meeting approving the course proposals	UGStudies committee members, committee secretary, School Secretary	7 years; committee members nil; electronic 3 years; committee sec 1 year	School secretary -	
A6-3-4	Drafting the Group annual plan / planning submission	Subject Group's draft plan	electronic, hard copy			n/a		need retention period
A6-3-6	Revising the Group Annual plan	Finalised Group Annual Plan				n/a		need retention period
Ref.	Activity	Record	Format	Description	Location of record	Retention period	Explanation of retention period	Comments

A7-1 Producing the Strategic Plan

A7-1-1	Submission of College Plans to Director of Planning	Revised College plans	Word documents	Following discussions with the Director of Planning & Snr VP	PS intranet	To end of year	
A7-1-2	Re-submission of College plans to Director of Planning	Checked College plans	Word documents	Following resubmission to Director of Planning & Snr VP	CMG intranet (Exec summaries on PS website)	CY+1 at centre; College copy 10yrs	College keep for reference; CMG copy to archives; the main copy is with the College
A7-1-3	Re-drafting of strategic plan	University Bulletins	newsletter	produced by CPA bi-monthly	PS filing	2 years	for reference
A7-1-3	Re-drafting of strategic plan	CMG minutes	Word & pdf documents		CMG intranet	n/a	
A7-1-3	Re-drafting of strategic plan	Re-drafted strategic plan	Word document	Produced by PS	PS intranet	To end of year	
A7-1-3	Re-drafting of strategic plan	Draft supplementary material for SHEFC's conditions of grant	Word document	Produced by snr manager responsible for issue	PS intranet	To end of year	
A7-1-4	Discussions and approval of draft strategic plan (Apr-Jul)	Approved Strategic Plan	Word/PDF/HTMLdocument / printed book	Approved by CMG, FGPC and Court - twice each	PS website	2 years	
A7-1-4	Discussions and approval of draft strategic plan (Apr-Jul)	Approved supplementary material for SHEFC's conditions of grant	Word document	Approved by CMG, FGPC and Court - twice each	PS website	3 years	
A7-1-4	Discussions and approval of draft strategic plan (Apr-Jul)	CMG minutes	Word & pdf documents	From meeting that approved the Strategic Plan and the Supplementary material for SHEFC's conditions of grant	CMG intranet	n/a	
A7-1-4	Discussions and approval of draft strategic plan (Apr-Jul)	FGPC minutes	Word & pdf documents	From meeting that approved the Strategic Plan and the Supplementary material for SHEFC's conditions of grant	FGPC secretary	n/a	
A7-1-4	Discussions and approval of draft strategic plan (Apr-Jul)	Court minutes	Word & pdf documents	From meeting that approved the Strategic Plan and the Supplementary material for SHEFC's conditions of grant	Court secretary	n/a	
A7-1-6	Publication of Strategic plan	Published Strategic Plan	PS website; printed version		PS website	10 years then to archive	Web version for reference, glossy copy to keep
A7-1-6	Publication of Strategic plan	Feedback from SHEFC	circular letter	On Strategic Plan	Central filing	3 years	
A7-1-8	Production of cost estimate	Cost estimate	Invoices / emails	For publication of Strategic Plan	PS Inboxes / PS filing	2 years	
A7-1-9	Agreement of deadlines	Deadlines	MS Project / committee papers	Led by committee dates and some guidance from SHEFC	PS intranet	1 year	
A7-1-9	Agreement of deadlines	Timetable	MS Project	For publication of Strategic Plan	PS intranet	2 years	
A7-1-10	Design preparation	Agreed design	Design proofs	For publication of Strategic Plan	PS	Until published	

A7-1-11	Proof checking	Published version of the Strategic Plan	printed version	Initially many copies in PS. Circulated widely in University and externally	Central Filing	10 years then to archive	Web version for reference, glossy copy to keep
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Ref.	Activity	Record	Format	Description	Location of record	Retention period	Explanation of retention period	Comments
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A8-1 Monitoring Progress: compiling accountability returns for inclusion in the Strategic Plan

A8-1-1 & A8-1-2	Consult planning submissions for relevant accountability items; Consult CMG minutes for relevant decisions to add	List of accountability items	Word documents	To send to Colleges for them to give progress on	PS shared drive	1 year	Starting point for next years list of accountability items for the Centre therefore keep for 1 year, the College only need the list until the end of the task.
A8-1-3	Write memos to appropriate college reps for progress reports	Correspondence	memo + Word document	From Planning Section to College reps requesting progress reports	PS filing + PS intranet	1 year (centre); until end of task (college)	
A8-1-4	Compiling a short report on the progress of the College plan	School progress report		By School Administrators		1 year	
A8-1-5	Approving the progress report	Approved School progress report		Approved by School Mangement Committee			Retention as Mgt C/tee
A8-1-5	Approving the progress report	School Management Committee minutes		From meeting at which the School's progress report was approved		n/a	
A8-1-6	Compiling the College progress report	College Progress report (answers to specific questions rather than free flow report)	Word documents; Electronic R & Hardcopy	For audit of Progress on Strategic Priorities	PS shared drive; HoCollege/Registrar/HWT/Old College	3 years	3 year horizon of progression

Ref.	Activity	Record	Format	Description	Location of record	Retention period	Explanation of retention period	Comments
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A8-2 Monitoring Progress: Student numbers

A8-2-2	Monitoring student numbers (Aug)	Memos from Colleges	Memos/emails	Initial picture of how recruitment progressing at time of Highers and Alevel results	PS Inbox	1 year	For reference
A8-2-2	Monitoring student numbers (Aug)	Memo to Principal	email	Summary of recruitment information and implications	Dir Planning Inbox	1 year	For reference

A8-2-1	Monitoring of student numbers (Oct-Nov)	Report to Senior Management and CMG	pdf file and spreadsheet	On student numbers	CMG intranet	N/A	CMG minutes will be kept for longer than would be needed for this
A8-2-1	Monitoring of student numbers (Oct-Nov)	Management information	PS website	Management Information is the information available to University administrators from the Planning Section, much of which is published regularly on the PS website. It includes analyses of data which relate to the University's: students; staff; finances; research; estates and buildings; facts and figures. And analyses of data which compare HEIs in Scotland and the UK: student analyses; applicants analyses; staff analyses; financial analyses; research analyses; by HESA cost centre.	PS website	Until superceded by updated figures in same year	
A8-2-1	Monitoring of student numbers (Oct-Nov)	Updated Diagonal tables	spreadsheet	Figures added to the diagonal tables for PS website next year		To end of following year	

Ref.	Activity	Record	Format	Description	Location of record	Retention period	Explanation of retention period	Comments
A8-3	Monitoring Progress: Production of Returns for funding bodies							
A8-3-1	Running reports from DACS using the NESI universe	Planning Session Report (Early Stats Return version)	spreadsheet		PS shared drive	4 years		
A8-3-2	Running reports from DACS using the Teaching Load universe	HESA listing	spreadsheet	Report showing HESA codes and relevant splits for all programmes	PS shared drive	4 years		
A8-3-3	Production of Early Stats Return for SHEFC	Early Stats Return	spreadsheet	For SHEFC (format provided by SHEFC)	PS shared drive	5 years		
A8-3-4	Running reports from DACS using the NESI universe	Planning Session Report (Near final Stats Return version)	spreadsheet	Version: "June_YEAR_SHEFC"	PS shared drive	4 years		
A8-3-5	Running reports from DACS using the Teaching Load universe	HESA listing	spreadsheet	Report showing HESA codes and relevant splits for all programmes (July version)	PS shared drive	4 years		
A8-3-6	Production of the Near Final Return / the Final Return	Near Final / Final Return	spreadsheet	For SHEFC (format provided by SHEFC)	PS shared drive	5 years		

A8-3-7	Production of medical student return	Return on number of matriculated medical students	Letter + report	For HEFCE	PS filing	5 years		
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Ref.	Activity	Record	Format	Description	Location of record	Retention period	Explanation of retention period	Comments
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A8-4 Audit of progress on strategic priorities

A8-4-1	Audit of progress on strategic priorities	Final progress report	webpage	List of priorities which updated 3 times in year with progress	CMG website	Year end - 3 years; in-year to end of current year	Any historical interest?	HS to check
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Ref.	Activity	Record	Format	Description	Location of record	Retention period	Explanation of retention period	Comments
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A8-5 Monitoring Progress: The balanced scorecard

A8-5-1	Calculating the Balanced Scorecard	Balanced Scorecard performance indicators	webpages	For monitoring performance of the university	PS website; court minutes	n/a		
A8-5-2	Monitoring of performance indicators	Court minutes	Word & pdf documents	From meeting at which the balanced scorecard was discussed	Central filing	n/a		

Ref.	Activity	Record	Format	Description	Location of record	Retention period	Explanation of retention period	Comments
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A8-6 Monitoring Progress: Retrospective financial monitoring by the College

A8-6-1	Checking and amending the accuracy of staff data	Data from HR database on College staff	database		HR			
A8-6-1	Checking and amending the accuracy of staff data	Data from payroll database on College staff	database		Payroll			
A8-6-1	Checking and amending the accuracy of staff data	Submission to HR and payroll detailing the changes needed to the data	memo	Following the check done by the School Resources Team/S Administrator involving Resources Team. This has not been formally done	Resources Team/S Administrator	3 years	normal horizon for contractual issues	
A8-6-1	Checking and amending the accuracy of staff data	Salary forecasts	database	From check of Staff data	College Office, individual schools will keep similar data	5yrs	5 year horizon	
A8-6-2	Production of the Quarterly Financial Report	Quarterly Financial Report - to P&RC	Hardcopy & electronic R	Produced by College Accountant	Members of P&RC	n/a		

A8-6-3	Discussion and approval of Financial Report	P&R minutes	Hardcopy & electronic R	From meeting approving the Quarterly financial report	Members of P&RC	n/a
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Ref.	Activity	Record	Format	Description	Location of record	Retention period	Explanation of retention period	Comments
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A8-7 Monitoring Progress: School and Groups teaching load

A8-7-1 & A8-7-2	Examining class lists; Querying WISARD database	Information on anticipated student numbers	hard copy, electronic		course secretaries	1 year	Rachel has her own db of students (MBA) but other groups would be using WISARD	
A8-7-3	Production of annual teaching workload information	Spreadsheet containing staff teaching load information for the School	hard copy, electronic		SA, shared drive	2 years		
A8-7-4	Requests for information on changes to teaching allocations	Correspondence	e-mail, memo, letter	From Heads of Subject Groups to School Administrator giving information on teaching allocations	SA	Until task completed		
A8-7-5	Monitoring and updating teaching workload	Staff teaching load information for the School	spreadsheet		SA, shared drive	3 years		

Ref.	Activity	Record	Format	Description	Location of record	Retention period	Explanation of retention period	Comments
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A8-8 Monitoring Progress: financial accounting

A8-8-1	Preparing monthly financial updates	Monthly financial update	spreadsheet	Produced by School Administrator	SA	5 years		
A8-8-2	Preparing financial reports	Financial Report	hard copy, electronic	Produced by School Administrator	SA	5 years		
A8-8-3	Discussion and approval of financial report	Approved Financial Report	hard copy, electronic	Approved by School Management Committee				
A8-8-3	Discussion and approval of financial report	School Management Committee minutes	hard copy, electronic	From the meeting at which the financial report was approved	Members of Management Committee; committee secretary/School secretary	n/a		
A8-8-4	Detailed analysis of Group's budget	Detailed financial analysis of Group's budget	hard copy, electronic	By Group secretary	SA, Group Secretary, School Secretary	2 years		
A8-8-5	Detailed analysis of other sub-School budgets	Detailed financial analyses	hard copy, electronic		SA, School Secretary	2 years	SA keeps central copy, group keeps own records in addition (but MBA only)	

APPENDIX FOUR: PLANNING AND STRATEGY RECORDS RETENTION SCHEDULE

Function:		Planning					
Business areas:		Central planning section, colleges, schools and groups					
No	Map reference	Description	Held by	Disposal	Timing	Trigger	Notes
COMMITTEE RECORDS WHICH CONTAIN PLANNING INFORMATION							
The minutes, agenda and papers of Court, the Principal's Strategy Group, Central Management Group and the Finance and General Purposes Committee are listed in this schedule for the sake of completeness. However, the official retention schedule for these records will be one that covers all the University's top-level committees.							
1.	A3-1-5; A7-1-4; A8-5-1	Approved Court minutes, agenda and papers (paper final copy)	Committee Secretary	University Archives	Immediately	On approval of the minutes	
2.		Approved Court minutes, agenda and papers (website version)	Committee Secretary	Destroy	10 years		The only reason for keeping this is convenience of reference; the master copy is held by the University Archivist
3.		Approved Court minutes, agenda and papers (electronic copy)	Committee Secretary	Destroy	1 year		The only reason for keeping this is convenience of reference; the master copy is held by the University Archivist
4.		Approved Court minutes, agenda and papers (paper and electronic copies)	All others	Destroy	As soon as no longer required for personal reference		The only reason for keeping these is convenience of reference eg if there is not a complete accessible copy on the web

5.		All draft versions of Court minutes, agenda and papers in all formats	Anyone	Destroy	Immediately	On approval of final minutes	Do not add to file except in rare cases where the drafts show a dramatic change in policy on a major issue
6.	A1-1-1; A2-1-2	Approved Principal's Strategy Group (PSG) minutes, agenda and papers (paper final copy)	Committee Secretary	Central filing	2 years		
7.	A1-1-1; A2-1-2	Approved Principal's Strategy Group (PSG) minutes, agenda and papers (paper final copy)	Central filing	University Archives	10 years		
8.		Approved PSG minutes, agenda and papers (electronic copy)	Committee Secretary	Destroy	1 year		The only reason for keeping this is convenience of reference; the master copy is currently the paper one
9.		Approved PSG minutes, agenda and papers (paper and electronic copies)	All others	Destroy	Immediately	When no longer required for personal reference	
10.		All draft versions of PSG minutes, agenda and papers in all formats	Anyone	Destroy		On approval of final minutes	Do not add to file except in rare cases where the drafts show a dramatic change in policy on a major issue

11.	A1-1-1; A2-1-1; A2-1-2; A3-1-5; A3-1-11; A6-1-7; A7-1-3; A7-1-4; A8-2-1	Approved Central Management Group (CMG) minutes, agenda and papers (paper final copy)	Committee Secretary	University Archives	Immediately	On approval of the minutes	
12.	A1-1-1; A2-1-1; A2-1-2; A3-1-5; A3-1-11; A6-1-7; A7-1-3; A7-1-4; A8-2-1	Pre-2000/2001 approved CMG minutes, agenda and papers (paper final copy)	Committee Secretary	Destroy	1 year		This copy is kept for ease of reference only
13.	A1-1-1; A2-1-1; A2-1-2; A3-1-5; A3-1-11; A6-1-7; A7-1-3; A7-1-4; A8-2-1	Pre-2000/2001 approved CMG minutes, agenda and papers (paper final copy)	Central filing	Destroy	10 years		From 2000/2001 onwards the web copy of these documents will replace this file copy, which is kept for ease of reference only.
14.		Approved CMG minutes, agenda and papers (paper and electronic copies)	Meeting participants	Destroy	When no longer needed for personal reference		The only reason for keeping these is convenience of reference eg if there is not a complete accessible copy on the web
15.		Approved CMG minutes, agenda and papers (website version)	Committee Secretary	Destroy	10 years		The only reason for keeping this is convenience of reference; it cannot be the master copy

16.		All draft versions of CMG minutes, agenda and papers in all formats	Anyone	Destroy	Immediately	On approval of final minutes	Do not add to file except in rare cases where the drafts show a dramatic change in policy on a major issue
17.	A3-1-5; A7-1-4	Approved Finance and General Purposes Committee (FGPC) minutes, agenda and papers (paper final copy)	Committee Secretary	University Archives	Immediately	On approval of minutes	
18.		Approved FGPC minutes, agenda and papers (website version)	Committee Secretary	Destroy	10 years		The only reason for keeping this is convenience of reference; the master copy is held by the University Archivist
19.		Approved FGPC minutes, agenda and papers (electronic copy)	Committee Secretary	Destroy	1 year		The only reason for keeping this is convenience of reference; the master copy is held by the University Archivist
20.		Approved FGPC minutes, agenda and papers (paper and electronic copies)	All others	Destroy	Immediately	When no longer required for personal reference	
21.		All draft versions of FGPC minutes, agenda and papers in all formats	Anyone	Destroy	Immediately	On approval of final minutes	Do not add to file except in rare cases where the drafts show a dramatic change in policy on a major issue

22.	A1-2-2; A1-2-3; A1-2-4; A1-2-8; A2-2-2; A2-2-5; A3-4-1; A3-7-1; A3-7-7; A6-1-4; A6-1-5; A8-6-2; A8-6-3	Approved College Planning & Review Committee (P&R) minutes, agenda and papers (paper final copy)	Committee Secretary	University Archives	Immediately	On approval of minutes	
23.	A1-2-2; A1-2-3; A1-2-4; A1-2-8; A2-2-2; A2-2-5; A3-4-1; A3-7-1; A3-7-7; A6-1-4; A6-1-5; A8-6-2; A8-6-3	Approved College P&R minutes, agenda and papers (paper final copy or website version)	Committee Secretary	Destroy	5 years		The only reason for keeping this is convenience of reference; the master copy is held by the University Archivist
24.		Approved College P&R minutes, agenda and papers (electronic copy)	Committee Secretary	Destroy	3 years		The only reason for keeping this is convenience of reference; the master copy is held by the University Archivist
25.		Approved College P&R minutes, agenda and papers (paper and electronic copies)	All others	Destroy	Immediately	When no longer required for personal reference	
26.		All draft versions of College P&R minutes, agenda and papers in all formats	Anyone	Destroy	Immediately	On approval of final minutes	Do not add to file

27.	A1-2-1; A2-2-2; A2-2-5; A3-7-6; A6-1-4	Approved College Executive Group minutes, agenda and papers (paper final copy)	Committee Secretary	University Archives	Immediately	On approval of final minutes	Only if records of substance are created. If the only product is an action list, this should not be offered to the University Archives
28.		Approved College Executive Group minutes, agenda and papers (paper final copy or any electronic copy)	Head of College	Destroy	CY+2		
29.		Approved College Executive Group minutes, agenda and papers (paper and electronic copies)	All others	Destroy	Immediately	When no longer required for personal reference	
30.		All draft versions of College Executive Group minutes, agenda and papers in all formats	Anyone	Destroy	Immediately	On approval of final minutes	Do not add to file
31.	A1-2-2; A1-2-5; A1-2-6; A1-2-7; A3-6-8; A3-7-2; A3-7-4; A6-2-4; A8-1-5; A8-8-3	Approved School Management Committee minutes, agenda and papers (paper final copy)	Committee Secretary	University Archives	Immediately	On approval of the final minutes	
32.		Approved School Management Committee minutes, agenda and papers (final paper copy, website or other electronic version)	Committee Secretary	Destroy	7 years		The only reason for keeping this is convenience of reference; the master copy is held by the University Archivist

33.		Approved School Management Committee minutes, agenda and papers (paper and electronic copies)	All others	Destroy	Immediately	When no longer required for personal reference	
34.		All draft versions of School Management Committee minutes, agenda and papers in all formats	Anyone	Destroy	Immediately	On approval of final minutes	Do not add to file
35.	A6-3-2	Approved School Undergraduate Studies Committee minutes, agenda and papers (paper or electronic final copy)	School secretary	Destroy	7 years		The School Secretary in this case is keeping the central record of all significant school committees; in other schools this set might be kept by the committee secretary. The records have not been selected for the University Archives as the records of higher committees are preserved instead.
36.		Approved School Undergraduate Studies Committee minutes, agenda and papers (paper convenience copy)	Committee secretary	Destroy	1 year		
37.		Approved School Undergraduate Studies Committee minutes, agenda and papers (electronic copy where paper is the master)	Committee Secretary	Destroy	3 years		The only reason for keeping this is convenience of reference if the master copy is the paper final copy

38.		Approved School Undergraduate Studies Committee minutes, agenda and papers (paper and electronic copies)	All others	Destroy	Immediately	When no longer required for personal reference	
39.		All draft versions of School Undergraduate Studies Committee minutes, agenda and papers in all formats	Anyone	Destroy	Immediately	On approval of final minutes	Do not add to file
40.	A6-3-2	Approved School Postgraduate Studies Committee minutes, agenda and papers (paper or electronic final copy)	School secretary	Destroy	7 years		The School Secretary in this case is keeping the central record of all significant school committees; in other schools this set might be kept by the committee secretary. The records have not been selected for the University Archives as the records of higher committees are preserved instead.
41.		Approved School Postgraduate Studies Committee minutes, agenda and papers (convenience copy)	Committee secretary	Destroy	1 year		
42.		Approved School Postgraduate Studies Committee minutes, agenda and papers (electronic copy where paper is the master)	Committee Secretary	Destroy	3 years		The only reason for keeping this is convenience of reference if the master copy is the paper final copy

43.		Approved School Postgraduate Studies Committee minutes, agenda and papers (paper and electronic copies)	All others	Destroy	Immediately	When no longer required for personal reference	
44.		All draft versions of School Postgraduate Studies Committee minutes, agenda and papers in all formats	Anyone	Destroy	Immediately	On approval of final minutes	Do not add to file
CORE RECORDS WHICH CONTAIN PLANNING INFORMATION							
45.	A7-1-3	University Bulletin	CPA	University Archives	Immediately	On publication	
46.	A7-1-3	University Bulletin	Planning Section copy	Destroy	2 years		The only reason for keeping this is convenience of reference
47.	A1-2-4	College newsletter	College Registrar	University Archives	Immediately	On publication	
48.	A1-2-4	College newsletter	College Registrar	Destroy	5 years		
49.		College newsletter	All other copies	Destroy	Immediately	When no longer required for personal reference	
DEVELOPING STRATEGIC PRIORITIES							
50.	A1-2-1; A7-1-4; A7-1-6	University strategic plan	Planning Section website	Destroy	6 years		Web version made available for convenience of reference

51.	A1-2-1; A7-1-4; A7-1-6; A7-1-11	University strategic plan	Glossy copy held by Planning Section	University Archives	Immediately	On publication	
52.	A1-2-1; A7-1-4; A7-1-6; A7-1-11	University strategic plan	Glossy copy held by Planning Section	Destroy	6 years		
53.	A7-1-10	University strategic plan, design proofs	Planning Section	Destroy	When final version produced		
54.		University strategic plan	All other copies	Destroy	As soon as no longer needed for personal reference		The only reason for keeping these is convenience of reference eg if there is not a complete accessible copy on the web
55.	A7-1-3	All draft versions of strategic plan (including supplementary material for SHEFC conditions of grant)	Planning Section Intranet	Destroy	1 year		
56.		Supplementary material for SHEFC conditions of grant	Planning Section Intranet	Review	3 years		Exact nature of this information can vary from year-to-year, and so decisions on whether or not to transfer to University Archives must be taken on a case-by-case basis
57.	A7-1-6	Feedback from SHEFC on strategic plan	Planning Section files	Destroy	3 years		This is a standard letter to all universities.
58.	A7-1-8; A7-1-9	Working papers for publication of strategic plan, including cost estimate, timetable	Planning Section paper files and electronic copies on Planning Section intranet	Destroy	CY+1		

59.	A1-2-1; A7-1-2	Final paper version of College annual plan (if not part of formal committee minutes)	College Registrar	Destroy	10 years	From year covered by plan	No need to transfer this copy to University Archives as a copy is included in CMG minutes
60.	A1-2-1; A6-1-7	Final version of College annual plan	College website	Destroy	3 years		Web version made available for convenience of reference
61.		Final paper version of College annual plan (if not available online)	All recipients who need it for reference purposes	Destroy	As soon as no longer required for reference purposes		The only reason for keeping these is convenience of reference eg if you will not always be able to access the web version
62.		Final electronic version of College annual plan	College Registrar	Destroy	CY+1		The only reason for keeping this is convenience of reference as the master copy is the paper final copy
63.		All other copies of College annual plan	Anyone	Destroy	As soon as no longer required for reference purposes		Only keep while convenient for personal reference purposes
64.	A7-1-2	Executive summaries of College annual plan (planning submission)	Planning Section Website	Destroy	CY+1		

65.	A6-1-4; A6-1-5; A6-1-6; A7-1-1; A7-1-2	All draft versions of College annual plan	College Registrar	Destroy	When final version available		
66.	A7-1-1	Revised college plan compiled following discussions with Director of Planning and Senior Vice-Principal	Planning Section Intranet	Destroy	At end of current year		
67.		All other draft versions of College annual plan	All other recipients	Destroy	When plan is finalised		
68.	A1-2-1; A6-2-5	Final paper version of school annual plan (if not part of formal committee minutes)	College Registrar	University Archives	Immediately	When plan is finalised	
69.		Final version of school annual plan	School website, school administrator and College Registrar	Destroy	5 years		The only reason for keeping this is convenience of reference; the master copy is held by the University Archivist
70.		Final electronic version of school annual plan	College restricted drive	Destroy	CY+1	Completion of next planning round	The only reason for keeping this is convenience of reference; the master copy is held by the University Archivist
71.		All other copies of final version of school annual plan	Anyone	Destroy	Immediately	When no longer required for personal reference	

72.	A6-2-3	All draft versions of school annual plan	School administrator	Destroy	CY+1	Completion of next planning round	All other copies to be kept only so long as is required for personal reference; ideally they should be destroyed at the end of the planning round
73.	A6-3-6	Final paper version of group annual plan (if not part of formal committee minutes)	School administrator and Group secretary	Destroy	1 year		If main decisions are not carried forward into school annual plan, one copy should be transferred to the University Archive at the time the plan is finalised. Not all Groups will have an annual plan.
74.		Final electronic version of group annual plan	School administrator on school shared drive	Destroy	1 year		The only reason for keeping this is convenience of reference as the master copy is the paper final copy
75.		All other copies of final version of group annual plan	Anyone	Destroy	Immediately	When no longer required for personal reference	
76.	A6-3-4	All draft versions of group annual plan	Group secretary	Destroy	CY+1	Completion of next planning round	

77.		All draft versions of group annual plan	Anyone other than Group secretary	Destroy	When plan is finalised		
78.	A1-2-2; A1-2-4; A6-1-3; A6-1-9	College level working papers, including discussion of college strategic priorities and communication of strategic priorities	Head of college	Destroy	CY+1	Completion of next planning round	These records either duplicate information held elsewhere, or are fragmentary e-mail exchanges which do not provide evidence of the decision-making process. Anything more substantive should be offered to the University Archive for review.
79.		College level working papers, including discussion of college strategic priorities and communication of strategic priorities	All others	Destroy	Immediately	When no longer required for personal reference	
80.	A1-2-5; A6-1-10; A6-2-4	School level working papers, including discussion of strategic priorities by e-mail or at away days	School Administrator/Head of School	Destroy	CY+1	Completion of next planning round	These records either duplicate information held elsewhere, or are fragmentary e-mail exchanges which do not provide evidence of the decision-making process. Anything more substantive should be offered to the University Archive for review.

81.		School level working papers, including discussion of school strategic priorities by e-mail, or at away days	All others	Destroy	Immediately	When no longer required for personal reference	
82.	A6-3-2	Group level working papers, including discussion and approval of course proposals	Person making proposals	Destroy	CY+1	Completion of next planning round	
83.	A6-3-2	Group level working papers, including discussion and approval of course proposals	All others	Destroy	Immediately	When no longer required for personal reference	
MONITORING PROGRESS							
84.	A8-1-2; A8-1-3	Accountability items and request for progress report	Planning Section intranet	Destroy	CY+1		
85.	A8-1-2; A8-1-3	Accountability items and request for progress report	All other copies	Destroy	Immediately	On completion of task	
86.	A8-1-4	Working papers for compilation of accountability return at school and college level	All copies	Destroy	CY+1		
87.	A8-1-6	College accountability report	Planning Section paper copy	University Archives	CY+2		
88.	A8-1-6	College accountability report	College copy and Planning Section electronic copies	Destroy	CY+2		
89.	A8-4-1	List of strategic and other major issues emerging from the planning round and progress on these: year end version	CMG website	University Archives	CY+2		
90.	A8-4-1	List of strategic and other major issues emerging from the planning round and progress on these: mid-year versions	CMG website	Destroy	End of year		

91.	A8-5-1	Balanced scorecard performance indicators	Planning Section website	Review	CY+5		Retention period to be reviewed as scorecards till under development
92.	A8-2	Recruitment progress reports (Aug)	Planning Section files	Destroy	CY+1		
93.	A8-2	Recruitment progress reports (Aug)	All other copies	Destroy	As soon as no longer required for personal reference		The only reason for keeping these is for personal reference
94.	A8-2-1	Analyses of intake targets, including v actuals and those of College Support Team intranet	Planning Section website	Destroy	CY+2		
MANAGING THE PLANNING PROCESS							
95.	A2-1-2; A2-2-1; A2-2-5; A6-2-1	Planning timetable and any revised versions (central and college)	Relevant website (at central and college level)	Destroy	CY+1		If no web version is available, keep master electronic version
96.	A2-1-3; A2-2-1; A2-2-5; A6-2-1	Planning guidance and any revised versions (central and college)	Relevant website (at central and college level)	Destroy	CY+1		If no web version is available, keep master electronic version
97.	A2-2-1; A6-2-1	Covering correspondence for timetable and guidance	Master electronic copy	Destroy	CY+1		
98.	A2-2-4; A6-2-1	All other copies of documents listed above	All others	Destroy	No later than CY+1		These are working papers only, and should not be filed. They are kept for personal reference purposes only.
DEVELOPING THE BUDGET							
99.	A3-1-5; A3-2-4	Final agreed budget showing baselines and adjustments: final version	Planning Section website	Destroy	CY+5		
100.	A3-1-5; A3-2-4	Final agreed budget showing baselines and adjustments: other versions	Planning Section website	Destroy	CY+2		

101.	A3-1-5	Agreed University budget, showing income and expenditure and single line budgets	Planning Section website	Destroy	CY+2		The master version is kept by Finance; this copy is kept as a communication vehicle
102.		Draft University budget, showing income and expenditure and single line budgets (produced Nov)	Planning Section website	Destroy	CY+2		The master version is kept by Finance; this copy is kept as a communication vehicle
103.		Calculation of NPRAS marginal adjustments and additional allocations: final version	Planning Section website	Destroy	CY+2		
104.	A2-1-1; A3-1-4; A3-1-5	Draft budgets, budget priorities and global NPRAS calculations	Planning Section – electronic masters	Destroy	CY+1		
105.		Calculations relating to NPRAS space incentive budgetary adjustments	Planning Section website	Destroy	CY+2		
106.		Ad hoc calculations relating to university budget (e.g. decisions on indirect cost payments, Staff Benefit Scheme contributions increases)	Planning Section website	Destroy	CY+2		
107.	A3-1-1; A3-1-2; A3-1-3	Central working papers, including e-mail discussions between Director of Planning and Finance, Human Resources, lobbying from Heads of Colleges etc	Planning Section files, Head of Planning's e-mails	University Archives	CY+1		University Archivist may destroy some material.
108.		Other parties' copies of central working papers	All others	Destroy	CY+1		
109.		College and support group draft planning submissions	All copies	Destroy	When final plans approved		
110.	A3-1-9	SHEFC grant letter	Central Filing	Destroy	CY+10		
111.	A3-1-9	SHEFC grant letter	All other copies	Destroy	Immediately	When no longer needed for personal	

						reference	
112.	A3-6-3	Estimate of in-year budget adjustment that the school can expect to receive	Anyone	Destroy	Immediately	On confirmation of actual adjustment	
113.	A3-4-2	Adjusted school budgets following allocation of in year adjustment	College website	Destroy	CY+3		If no electronic copy is widely available, then school administrators and college will need to keep their own copies for CY+3
114.	A3-4-3	Communication of adjusted budgets to schools	College Registrar	Destroy	CY+3		If a separate document
115.	A3-5-1	Applications to central funding reserve and rules for applications	College Registrar; centre	Destroy	1 year	After completion of funding term	
116.	A3-6-1; A3-6-2	Working paper for allocation of school budgets, such as group statement of needs, requests for estimates, discussions of budgets	School administrator and Group secretary	Destroy	CY+1		Other copies should be kept only so long as is necessary for personal reference
117.	A3-6-1; A3-6-2; A3-6-5	Working paper for allocation of school budgets, such as group statement of needs, requests for estimates, discussions of budgets	All others	Destroy	Immediately	When no longer required for personal reference	
118.	A3-3-2	Indicative school budgets	Anyone	Destroy	Immediately	On receipt of actual budget	

119.	A3-6-4; A3-6-6; A3-6-7	Draft school budgets	School administrator	Destroy	CY+1		Other copies should be kept only so long as is necessary for personal reference
120.	A3-6-8	Final school budgets	School administrator	Destroy	CY+1		Other copies should be kept only so long as is necessary for personal reference
121.	A3-7-8	School bids for additional college funds: awarded bids and confirmation of award	College office, School administrator and recipients of funding	Destroy	1 year	After completion of funded project	Other copies should be kept only so long as is necessary for personal reference
122.	A3-7-4	School bids for additional college funds: unsuccessful bids	School administrator and bidders for funding	Destroy	CY+1		Other copies should be kept only so long as is necessary for personal reference
123.	A3-7-3	School bids for additional college funds: proposals not put forward to college	School administrator and bidders for funding	Destroy	CY+1		Other copies should be kept only so long as is necessary for personal reference
124.	A3-7-6	College assessment of bids, summaries and recommendations	College Registrar (if not part of P&R Committee papers)	Destroy	CY+1		If not kept as part of committee minutes
125.	A3-8-1; A3-8-2; A3-8-3; A3-8-4; A3-8-5; A3-8-6	Subject planning for teaching workload, including projections of workload, assessment of ability to cover workload, casual teaching requirements, statements of need	School administrator	Destroy	CY+1		
126.		Subject planning for teaching workload, including projections of workload, assessment of ability to cover workload, casual teaching requirements, statements of need	Other parties	Destroy	Immediately	When no longer required for personal reference	

127.	A4-1-5	Fee incentive scheme calculations	Planning Section website	Destroy	CY+5		
128.	A3-2-2	Income & expenditure attribution model: all versions	Planning Section website	Destroy	CY+5		
129.	A3-2-3	Indirect cost recovery finance date for previous and current year: all versions	Planning Section	Destroy	CY+5		
130.	A3-1-7; A3-2-4	Projections of fee income and indirect cost recovery: final version	Planning Section website	Destroy	CY+5		
131.	A3-1-8	Projections of fee income and indirect cost recovery: college versions	Head of College, Accountant, Registrar	Destroy	CY+1		Try to minimise duplication by saving this to a shared drive and keeping only one copy
FINANCIAL MONITORING BY COLLEGES AND SCHOOLS							
132.	A8-6-1	Requests to HR and payroll detailing changes required to data	College copy	Destroy	3 years		
133.	A8-6-1	Salary forecasts	College Office and School Administrator	Destroy	5 years		
134.	A8-8-1; A8-8-2	Financial updates and financial reports	Budget administrator (may be school administrator)	Destroy	5 years		
135.	A8-8-4; A8-8-5	Detailed breakdown of sub-school budgets (including groups)	School administrator, budget administrator	Destroy	2 years		
DATA ANALYSIS							
136.	A3-1-9; A8-3-3	Early stats returns	Spreadsheet on Planning Section shared drive	Destroy	CY+4		
137.	A8-3-6	Near final/final SHEFC return for student number projections	Planning Section shared drive	Destroy	5 years		
138.	A8-3-2	HESA listing	Planning Section shared drive	Destroy	4 years		
139.	A4-2-2	Final HESA student return	Registry, Finance, HR, Registry, Careers Service, Finance	University Archive	5 years		
140.	A4-2-3	HESA sectoral statistics	Planning Section Intranet	University Archive	10 years		Requires weeding

141.	A4-2-3	Comparative statistics from HESA and SHEFC final returns	Planning Section Intranet	Destroy	2 years	After reconciliation finalised	
142.	A4-2-4	Reconciliation response to SHEFC	Planning Section Intranet	Destroy	5 years		
143.	A8-3-7	Medical student return to HEFCE	Planning Section paper files	Destroy	5 years		
144.							
145.	A4-3-3	Teaching load data	Planning Section website	Destroy	10 years		
146.	A4-3-4; A4-1-2	Teaching load figures for income and expenditure attribution model	Planning section shared drive	Destroy	CY+1		
147.	A4-1-2; A4-3-4	Teaching load figures: all other versions	Planning Section shared drive	Destroy	CY		
148.	A4-3-5	Amendments to student data		Destroy	Immediately	On confirmation that amendments have been made	
149.	A4-3-2	Teaching load enquiries: response and working papers	Planning Section	Destroy		When new event produced	
150.	A4-3-6	Student staff ratios	College administrator	Destroy	10 years		
151.	A4-3-6	Student staff ratios	School administrator	Destroy	5 years		
152.	A4-3-6	Student staff ratios	All other copies	Destroy	Immediately	When no longer required for personal reference	
153.	A8-7-1; A8-7-2	Student numbers data	Course secretaries	Destroy	1 year		
154.	A8-7-3; A8-7-5	School teaching workload data	School administrator	Destroy	3 years		

155.	A8-7-4	Queries about school teaching workload data	School administrator and heads of group	Destroy	Immediately	On resolution of query	
156.	A3-1-6	Diagonal tables; version used to set budgets	Planning Section website	Destroy	CY+2		
157.	A3-2-1; A4-1-2	Diagonal tables; version used for inputting to income & expenditure attribution model for calculating in-year NPRAS adjustments	Planning Section website	Destroy	CY+1		
158.	A4-1-2; A8-2-1	Diagonal tables; end of year version	Planning Section website	Destroy	CY+1		
159.	A4-1-2	Diagonal tables: all other versions	Planning Section	Destroy	CY		
160.	A3-1-9	RAE results report	Planning Section	Destroy	CRAE+2 RAEs		Other copies should be kept only so long as is necessary for personal reference
161.	A4-1-1	Planning session reports: end of year data	Planning Section shared drive	University Archives	CY+4		
162.	A4-1-1; A8-3-1; A8-3-4	Planning session reports: SHEFC return extracts	Planning Section shared drive	Destroy	CY+4		
163.	A4-1-6	Full planning session report anonymised for college and school use	Planning Section website	Destroy	CY+4		
164.	A4-1-4	Other planning session reports	Planning Section shared drive	Destroy	CY+2		
165.	A4-1-1	Summary of current student population at various dates through year (access restricted to College Support Team)	Planning Section website	Destroy	CY+4		
166.	A4-1-3	Other management information (student, staff, financial, research, applicants, estates and buildings, college statistics etc)		University Archives			Case-by-case decision, but much of it will have archival value
167.	A4-1-4	Responses to management information queries	Planning Section files	Review	CY+1		Some may have longer value

Compiled by:		Date:	
Approved by University Records Manager:			
Name:	Signature:	Date:	
Approved by head(s) of unit(s):			
Name:	Signature:	Date:	
Version no:	6	Details:	Final version for submission to JISC

APPENDIX FIVE: ISSUES QUESTIONNAIRE

1. With whom would you need to consult before adopting the retention schedule recommendations?
2. Who would you need to ask to sign off the schedule?
3. Do you foresee difficulties in obtaining agreement to the schedule? (If yes, please give details)
4. Does your area currently collect all the records identified as your responsibility in the schedule? (If no, please give details)
5. Do you know what planning records your area currently holds? (If no, please describe what you would need to do to find out)
6. Please describe how planning records are currently organised eg are they dispersed on individual's personal drives; in a central filing system; or something else.
7. Does your area currently organise all the records identified in the schedule in a way that would make it easy to identify and dispose of them in line with the schedule's recommendations? (If no, please give details of the changes that would be required)
8. Do you currently have arrangements in place for the destruction of unwanted paper and electronic information? (Eg procedures to clear out shared drives, e-mail accounts, paper files)
9. Give an estimate of the time you think it would take to implement the retention schedule for existing records.
10. Give an estimate of the time you think it would take to set up systems to implement the retention schedule in future.
11. Have you put arrangements in place to ensure that electronic records can be found, read and interpreted correctly for the whole time they are required, even if you change software or hardware?
12. Is it likely that any of these records will be required as evidence in a court of law? (If yes, please give details)
13. If the record copy is electronic, do you have measures in place to protect it from malicious or accidental damage or deletion?
14. The retention schedule document is currently a generic one, covering the whole University. How would you use and disseminate this in your area?
15. Would you or anyone in your area require training in order to introduce and implement the schedule?

APPENDIX SIX: RECORDS MANAGEMENT ROUTE MAP

1. Records management offers significant business benefits for the University, including:
 - a. Reduces time spent looking for information
 - b. Facilitates sharing of information
 - c. Reduces unnecessary duplication
 - d. Avoids costs associated with retention of unnecessary information eg storage costs, back up retention times and servicing information requests for information the University does not need in any case
 - e. Improves control over information assets
 - f. Ensures that the University's records are legally admissible
 - g. Promotes consistency in dealing with information
 - h. Assists with disaster recovery and contingency planning.
2. Records management is also an essential element of compliance with the Freedom of Information (Scotland) Act 2000. If the University does not know what records we hold, then it will be unable to respond to requests for information within the 20-day deadline prescribed by the legislation. In recognition of this s 61 of the Act makes provision for a statutory code of practice on records management, with which all public authorities are expected to comply.
3. It will be shortly a criminal offence to destroy information which is the subject of a freedom of information or data protection request. Records management can help demonstrate that information has been destroyed in accordance with the University's policies and procedures and not in response to an information request.
4. It is the responsibility of each business area to ensure that it has proper procedures in place to capture and manage its records. As the University is a highly devolved organisation, it would be inappropriate for the central Records Management Section to develop a central set of procedures with which all areas were expected to comply. Devolving this responsibility will ensure that business areas develop systems which are responsive to their needs. To help business areas, the Records Management Section will produce guidance, policies and training and will support a network of freedom of information practitioners.
5. In a number of instances, for example, student records or computing records, it would be appropriate for groups of practitioners to work together to develop common records management policies and practices. The practitioners group will give business areas an opportunity to explore such opportunities.
6. To move towards full and reliable records management an organisation needs to know:
 - What day-to-day practices should we be following in creating records?

- What records should we be keeping?
 - How can we ensure that our records are captured and accessible?
 - How long should we keep our records?
 - What records have we actually got?
 - How can we ensure that our records remain accessible for as long as they are needed?
7. The table in Annex A sets out the route map to enable practitioners to set up comprehensive records management systems which answer these questions. Annex B represents this diagrammatically.
 8. Each business area must draw up their own timetable to implement records management in their area. To help with this, the table states when relevant guidance will be available, an indicative amount of time to allow for each activity, and the date by which it should be completed to ensure compliance with the statutory code of practice on records management by 1 January 2005.
 9. In a small number of cases guidance will not be available until late 2004. However, it will be possible to take interim measures to set up systems without the full guidance.
 10. Given the short timetable for freedom of information implementation, business areas are advised to target first core areas and those areas which are more likely to attract freedom of information requests, such as procurement. More complex areas, such as research and consortia, could be tackled once basic systems are in place.

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July 2003

Annex A

Freedom of Information Implementation Plan

Records Management Activities

	Activity	Relevant guidance	Guidance available (at least in draft)	Time required	Complete by end of
<i>What day-to-day practices should we be following in creating records?</i>					
1.	Promote records management best practice	Records management dos and don'ts	20/08/2003	Will vary according to size of the area. Allow at least ½ day per business area initially for communication with relevant members of staff. Thereafter, reminders and introductions for new staff will be required.	Ongoing. First round should be completed by November 2003.
2.	Ensure that records are created in line with best practice	Document creation (includes committees)	25/09/03	Will vary according to size of area and familiarity with area. Allow 2 days per business area for initial introduction of best practice. Thereafter, reminders and introductions for new staff will be required.	Ongoing; first round should be completed by November 2003.
3.	Ensure that future IT projects meet good recordkeeping requirements	IT projects checklist	23/10/2003	Allow at least two hours per IT project.	Ongoing

	Activity	Relevant guidance	Guidance available (at least in draft)	Time required	Complete by end of
4.	Ensure that arrangements are in place to capture research records	Research	19/12/2003	Allow at least 2 hours per research project for initial assessment; thereafter will vary according to the measures required.	December 2004
5.	Ensure that recordkeeping arrangements are in place for consortia	Consortia	03/02/2004	Allow 2 hours per consortium for initial assessment; thereafter will vary according to the measures required.	December 2004; ongoing thereafter as new consortia are established.
6.	Ensure that staff are aware of the recordkeeping implications of working from home	Home working	10/03/2004	Will vary according to size of the area. Allow 2 hours per business area for initial introduction of best practice. Thereafter, reminders and introductions for new staff will be required.	Ongoing; first round should be completed by June 2004
7.	Ensure that e-mails are managed in line with best practice	E-mails	10/03/2004	Will vary according to size of the area. Allow 2 hours per business area for initial introduction of best practice. Thereafter, reminders and introductions for new staff will be required.	Ongoing; first round should be completed by May 2004
<i>What records should we be keeping?</i>					
8.	Decide what records you should be creating	Information map	14/07/2003	Will vary according to familiarity with area and size of area. Allow at least 3 days per business area.	December 2003
<i>How can we ensure that our records are captured and accessible?</i>					

	Activity	Relevant guidance	Guidance available (at least in draft)	Time required	Complete by end of
9.	Decide how best to organize those records	Filing scheme	14/07/2003	Will vary according to familiarity with area and size of area. Allow at least 3 days per business area.	March 2004
10.	Decide who should have access to those records	Access policy	16/02/2004	Will vary according to familiarity with area and size of area. Allow at least 3 days per business area.	March 2004
11.	Set up systems to implement 8, 9 & 10	Filing systems	22/03/2004	Will vary according to size of area and nature of systems required. Allow at least 1 day per business area	April 2004
12.	Set up systems to keep track of what records you have, and where they are	Tracking and monitoring systems ¹ , records inventories	22/11/2004, 14/07/2003	Will vary according to size of system required. At lowest end of the scale might involve setting up an Excel spreadsheet; at highest might require an IT system.	April 2004
<i>How long should we keep our records?</i>					
13.	Decide how long you need to keep your records	Retention scheduling, archival selection criteria	14/07/2003	Will vary according to familiarity with area and complexity of area. Allow at least 4 days per business area.	March 2004
14.	Put in place procedures to dispose of unwanted records	Disposal procedures, archive transfer procedures	08/07/2004	Will vary according to the complexity of the area. Allow at least 1 day per business area.	August 2004

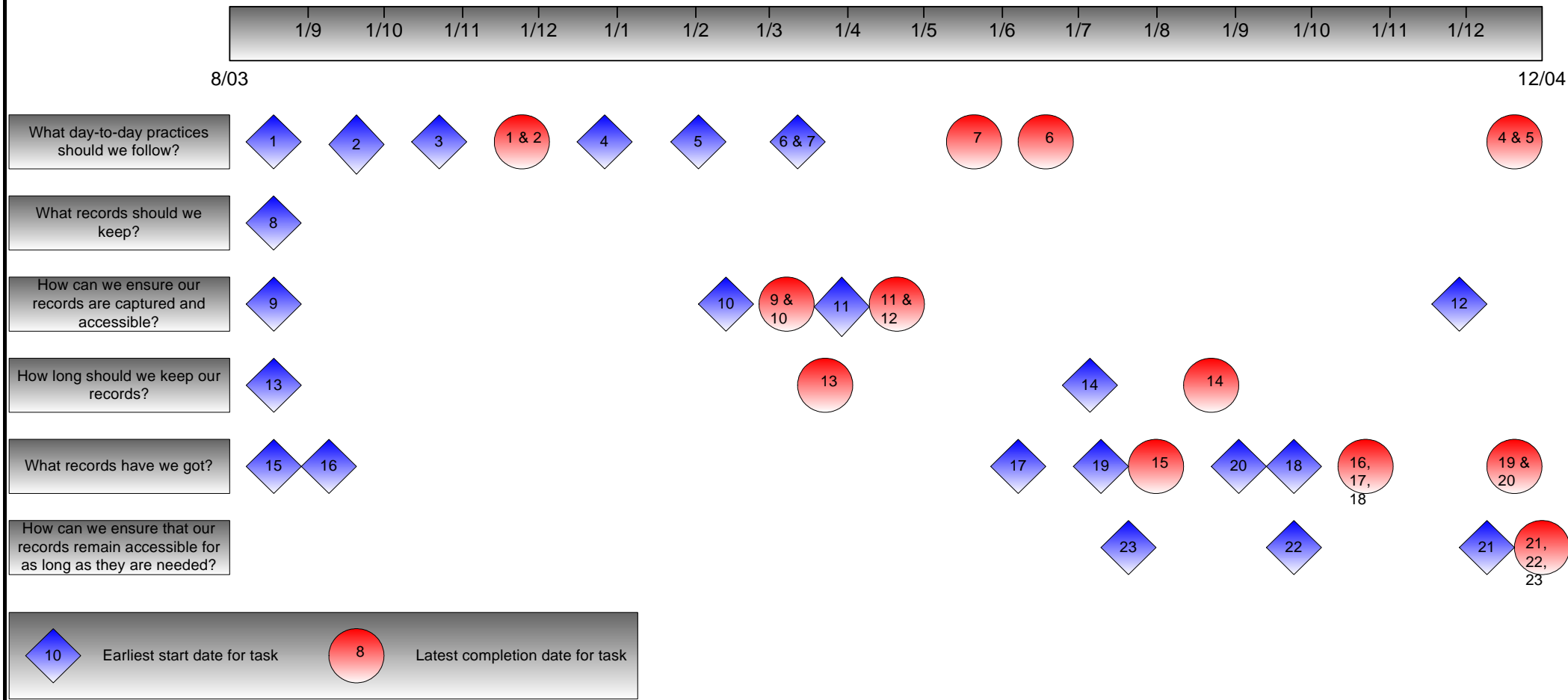
¹ Although customised University guidance will not be available until November 2004, the National Archives provide guidance on the subject at <http://www.pro.gov.uk/recordsmanagement/standards/tracking-records.htm>

	Activity	Relevant guidance	Guidance available (at least in draft)	Time required	Complete by end of
<i>What records have we actually got?</i>					
15	Find out what records you already have	Records survey	14/07/2003	Will vary according to familiarity with area and size of area. Allow at least 5 days per business area.	July 2004
16	Decide which existing paper records you no longer require	Reviewing legacy material (paper), archival selection criteria	02/09/2003	Will vary according to quantity of material involved. Generally, allow one day per 3 metres of records for policy files.	October 2004
17	Assess legal admissibility of existing electronic records	Legal admissibility	02/06/2004	Will vary according to number of IT systems in use. Allow at least 2 hours per system.	October 2004
18	Decide which existing electronic records you no longer require	Reviewing legacy material (electronic), archival selection criteria	28/09/2004	Will vary according to quantity of material involved. Allow at least ½ day per record collection.	October 2004
19	Dispose of unwanted records	Disposal procedures, archive transfer procedures	08/07/2004	Will vary according to quantity and format of material involved. If information is held in databases may require long-term plans to modify the databases to delete unwanted information.	December 2004
20	Incorporate existing records into newly established systems			Will vary according to quantity and format of material involved.	December 2004
<i>How can we ensure that our records remain accessible for as long as they are needed?</i>					
21	Make appropriate storage	Storage	12/01/2005	Will vary according to the	March 2005

	Activity	Relevant guidance	Guidance available (at least in draft)	Time required	Complete by end of
	arrangements for your records	arrangements		measures required.	
22	Decide how you will ensure that electronic records remain accessible for as long as they are needed	Preservation strategy	20/09/2004	Allow at least 2 hours per record collection.	June 2005
23	Put in place measures to ensure that core records are safeguarded	Vital records	21/07/2004	Allow at least 3 days per business area.	June 2005

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July 2003

Annex B: Route and Milestones Towards Records Management



KEY

1	Promote records management best practice	9	Decide how to organise your records	17	Assess legal admissibility of electronic records
2	Create records in line with best practice	10	Decide who should have access to those records	18	Review existing electronic records
3	Set up IT projects in line with RM best practice (ongoing)	11	Set up filing systems and inventory	19	Dispose of unwanted records
4	Capture research records	12	Set up tracking and monitoring systems	20	Incorporate existing records into new systems
5	Capture consortia records	13	Decide how long you need to keep your records	21	Make storage arrangements
6	Manage records created at home	14	Set up procedures for disposal of unwanted records	22	Preservation strategy
7	Manage e-mails	15	Survey existing records	23	Vital records plan
8	Decide what records you need to create	16	Review existing paper records		