

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

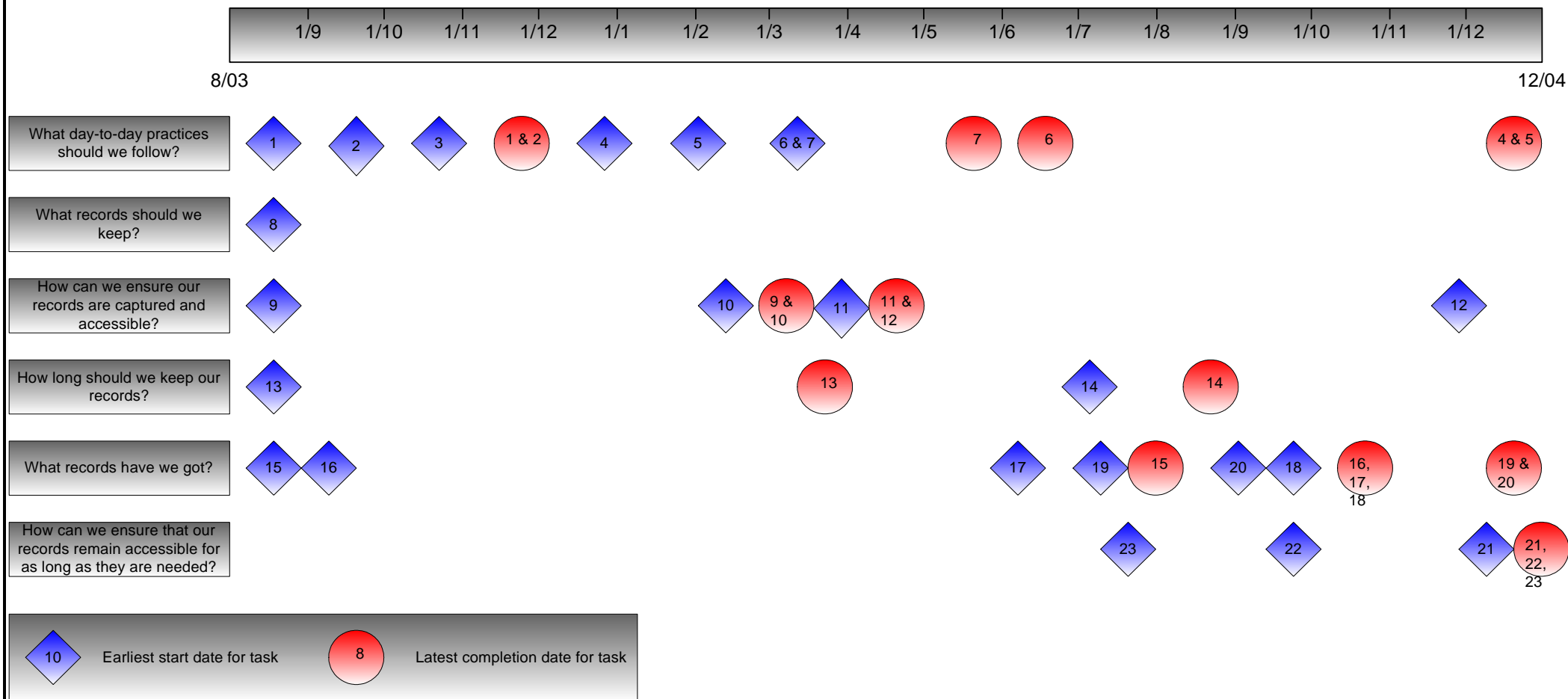
¹ Although customised University guidance will not be available until November 2004, the National Archives provide guidance on the subject at <http://www.pro.gov.uk/recordsmanagement/standards/tracking-records.htm>

	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		