

UNIVERSITY RECORDS RETENTION SCHEDULE

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BUSINESS UNIT 340

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TEACHING AND LEARNING

1 Teaching

The function of delivering the institution's taught programmes which lead to academic awards (N1).

For teaching on programmes which do not lead to formal academic awards, use EDUCATION & TRAINING.

N1 This function is intended to cover the delivery of all taught programmes, regardless of the type of award they lead to and whether they are delivered using traditional teaching methods (e.g. lectures, seminars, practical instruction) or newer methods (e.g. distance learning, e-learning, blended learning, workplace learning). It is also intended to cover programmes delivered in collaboration with other HE institutions, with FE institutions or with other organisations.

1.1 Teaching Strategy Development

The activities involved in developing and establishing the institution's teaching strategy.

Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
1.1.1	Records documenting the development and establishment of the institution's teaching strategy: key records.		CELT	Superseded + 10 years	Archive	JISC	
1.1.2	Records documenting the development and establishment of the institution's teaching strategy: working papers.		CELT	Issue of strategy + 1 year	Destroy	JISC	

1.2 Teaching Policy Development

The activities involved in developing and establishing the institution's policies on teaching.

Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
1.2.1	Records documenting the development and establishment of the institution's teaching policies: key records		CELT	Superseded + 10 years	Archive	JISC	
1.2.2	Records documenting the development and establishment of the institution's teaching policies: working papers		CELT	Issue of policy + 1 year	Destroy	JISC	

1.3 Teaching Procedures Development

The activities involved in developing the institution's procedures for teaching.

Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
1.3.1	Records documenting the development of the institution's procedures relating to teaching.		CELT/Faculties	Issue of procedures + 1 year	Destroy	JISC	

1.3.2	Master copies of procedures relating to teaching.		CELT/Faculties	Superseded + 5 years	Review for archival value	JISC	
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1.4 Teaching Quality & Standards Management

The activities involved in managing the quality and standards of the institution's teaching.

Activities include: conducting internal reviews of teaching quality and standards, including peer reviews; facilitating and participating in *external reviews of teaching quality and standards* (D1); collecting data on teaching quality and standards (Teaching Quality Information) as required by the Higher Education Funding bodies (N1).

For conducting reviews of specific taught programmes, use TEACHING - TAUGHT PROGRAMME REVIEW.

For submitting Teaching Quality Information to HESA, use HE / FE SECTOR RELATIONS MANAGEMENT - HE SECTOR REPORTING.

For academic staff development, use HUMAN RESOURCES MANAGEMENT - WORKFORCE TRAINING & DEVELOPMENT.

D1 *External reviews of teaching quality and standards* includes: Institutional Audit carried out by the QAA in HEIs; accreditation visits from professional bodies.

N1 *Guide for Members of Higher Education Governing Bodies in the UK*, Committee of University Chairmen, 2004, Part III, para. 5.4: '... all HEIs will also be required [by the Higher Education Funding bodies] to publish a range of quantitative and qualitative information on quality and standards (referred to as Teaching Quality Information).'

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
1.4.1	Records documenting the development of the institution's internal quality assurance processes.	Academic Handbook	Academic Registry	While current	Archive	JISC	
1.4.2	Records documenting the conduct and results of formal internal reviews of teaching quality, and responses to the results.	Annual monitoring reports	Faculties /Academic Registry for CeLL	Current academic year + 5 years	Archive	JISC	
		Internal subject review	Academic	Current academic	Review for		

		including self evaluation documents, feedback, reports, associated paperwork and correspondence	Registry	year + 5 years	archival value		
		Internal subject review definitive documents, outcomes and reports	Academic Registry	Current academic year + 5 years	Archive		
1.4.3	Records documenting the conduct and results of external reviews and audits of teaching quality and standards.	QAA reports	Academic Registry	Current academic year + 5 years	Archive	JISC	

1.5 Taught Programme Development

The activities involved in developing the institution's taught programmes.

Activities include: designing and developing new programmes and new modules in existing programmes; revising existing programmes and modules; withdrawing programmes or modules; obtaining and maintaining accreditation for programmes.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
1.5.1	Records documenting the design and development of (modules of) taught programmes.	Course proposals including course proposal documents, feedback sheets, memos recording decisions and related correspondence	Academic Registry	Life of programme + 10 years	Review for archival value	JISC	
		Programme approvals	Faculties/	Life of programme +	Destroy		

		and reapprovals including associated documents and correspondence	Academic Registry	10 years			
		Programme approvals and reapprovals definitive documents, outcomes and reports	Faculties/ Academic Registry	Life of programme + 10 years	Archive		
		Course Syllabus	Faculties	Life of programme +10 years	Archive		
1.5.2	Records documenting the process of obtaining approval and/or accreditation for (modules of) taught programmes from professional, statutory or other accreditation bodies.	Professional Body accreditations including proposal documentation, reports, confirmation of approval, associated paperwork and correspondence	Academic Registry	Life of programme + 10 years	Destroy	Internal Guidance	
		Edexcel courses – registration forms, associated paperwork and correspondence	Academic Registry	Life of programme + 5 years	Destroy		

1.5.3	Records documenting the process of Institutional Approvals	Institutional approvals documentation, associated paperwork and correspondence	Academic Registry	Life of programme + 10 years	Destroy	Internal Guidance	
		Definitive documents, proposals, outcomes and reports	Academic Registry	Life of programme + 10 years	Archive		

1.6 Taught Programme Review

The activities involved in reviewing the institution's taught programmes to inform ongoing programme development.

Activities include: collecting and analysing student numbers and other programme statistics; collecting, reviewing and responding to feedback on programmes from staff, students, external examiners and others.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
1.6.1	Records containing data on, and analyses of, student numbers and other taught programme statistics.		Faculties	Current academic year + 5 years	Destroy	JISC	
1.6.2	Records documenting routine solicited feedback on taught programmes from staff and examiners: individual feedback.	External examiners feedback and forms	Faculties	Current academic year + 5 years OR Life of course + 1 year	Destroy	JISC	
		Staff feedback and forms	Faculties				
1.6.3	Records documenting routine solicited feedback on taught programmes from students: individual feedback.		CELT	Completion of analysis of feedback	Destroy	JISC	
1.6.4	Records containing		CELT	Current academic	Destroy	JISC	

	(anonymised) summaries and analyses of routine solicited feedback on taught courses from staff, examiners and students.			year + 5 years OR Life of course + 1 year			
1.6.5	Records containing reports of routine internal reviews of taught programmes.		Faculties	Current academic year + 5 years	Review for archival value	JISC	
1.6.6	Records documenting the conduct and results of formal independent reviews of taught programmes, and the responses to the results.	External Examiners reports and responses	Academic Registry	Current academic year + 5 years	Archive	JISC	

1.7 Taught Programme Delivery

The activities involved in delivering the institution's taught programmes.

Activities include: preparing *teaching and learning materials* (D1); planning and conducting *teaching and learning events* (D2); providing opportunities for students to gain formative feedback on their learning (e.g. through peer assessment of presentations or completion of self-assessment tasks).

D1 *Teaching and learning materials* may be in any medium and format.

D2 *Teaching and learning events* includes: lectures; tutorials; seminars; workshops; practical instruction classes; field trips; work placements.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
1.7.1	Records documenting the preparation of teaching and learning materials.	Module/course handbooks Lecture notes Reading lists Learning materials	Faculties/ LCSS-IS for material in the Blackboard and Glamlearn Content Management System	Life of module + 5 years	Review for archival value	Internal Guidance	Sampling only

1.7.2	Records documenting the planning and conduct of teaching and learning events.		Faculties	Current academic year + 1 year	Destroy	JISC	
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1.8 Taught Student Assessment

The activities involved in conducting *assessment* (D1) to measure students' achievement of the intended learning outcomes of the institution's taught programmes.

Activities include: setting assessments; marking/grading assessments; reviewing marks/grades awarded in response to notifications of mitigating circumstances; conducting meetings of examination boards; determining awards and classifications.

For developing assessment strategies and methods, use TEACHING - TAUGHT PROGRAMME DEVELOPMENT.

For administering the assessment process, use ACADEMIC ASSESSMENT ADMINISTRATION.

For servicing examination boards, use ACADEMIC ASSESSMENT ADMINISTRATION - EXAMINATION BOARD ADMINISTRATION.

For handling appeals against the results of assessments, use STUDENT ADMINISTRATION - STUDENT ACADEMIC APPEAL HANDLING.

For handling formal complaints by students about academic matters other than the results of assessments, use STUDENT ADMINISTRATION - STUDENT COMPLAINT HANDLING.

D1 *Assessment* means all types of formative and summative assessment.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
1.8.1	Records documenting the design and development of assessments.		Faculties	Life of module	Review for archival value	JISC	
		Examination papers	Faculties	Current academic year	Archive	Internal Guidance	
1.8.2	Records documenting submitted/completed assessments: formative assessments.	Coursework/projects /dissertations / examination scripts not contributing to final award	Faculties	Current academic year	Destroy	JISC	
1.8.3	Records documenting	Coursework/projects/	Faculties	Confirmation of	Destroy	Internal	Retain for last action on case + 6

	submitted/completed assessments: summative assessments.	undergraduate dissertations contributing to final award Examination Scripts Examiners' notes Samples of coursework / examination scripts for quality purposes	Faculties	marks/grades by Board of Examiners + 1 year Current academic year + 5 years	Destroy	Guidance Internal Guidance	years if there is a complaint or appeal
1.8.4	Records documenting marks/grades given to submitted/completed summative assessments and, where appropriate, awards and classifications.	Results mark sheets Subject Examination Boards results and reports Award Examination Boards results and reports Modules Results	Faculties	Current academic year + 6 years	Destroy Archive	1980 c.58	

1.9 Taught Student Monitoring & Support

The activities involved in monitoring, reviewing and supporting students' progress and attainment on the institution's taught programmes.

Activities include: providing support and guidance to taught students on programme/module selection; providing academic feedback, advice and guidance to students; providing advice and guidance to students whose progress is unsatisfactory or who are considering suspending or terminating their studies.

For conducting formal proceedings against students whose performance or progress is unsatisfactory, use STUDENT ADMINISTRATION - STUDENT DISCIPLINARY CASE HANDLING.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
1.9.1	Records documenting feedback on academic progress, and general academic guidance and support, given to individual taught students.	Tutor meetings record of progress	Faculties	Completion of student's programme + 6 years	Destroy	1980 c.58	

1.10 Teaching Training and Development

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

Activities include: identifying training requirements; identifying and evaluating training options.

For external training, activities include: identifying and evaluating training programmes; organising attendance at training events; evaluating training programmes/events.

For internal training, activities include: developing training programmes; organising and arranging training events; delivering training; evaluating training programmes/events.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
1.10.1	Records documenting the development of training for teaching and learning	Training programmes; Course material;	CELT	Superseded + 1 year	Destroy	Internal Guidance	
1.10.2	Records documenting the delivery of training for teaching and learning	Details of delegates, Registers of attendance, Evaluation forms	CELT	Current year + 4 years	Destroy	Internal Guidance	

2 Learning Support

The function of providing *learning support resources* (D1) to support taught students in developing academic skills and personal skills (N1).

D1 *Learning support resources* includes: guidance materials in a range of media/formats; training for individuals or groups, delivered in traditional ways (e.g. lectures, workshops) or using newer methods (e.g. computer software); individual coaching/advice (e.g. on writing or presentation skills).

N1 This function is intended to cover the delivery of all learning support resources, regardless of what they are and how they are made available to students.

2.1 Learning Support Strategy Development

The activities involved in developing the institution's learning support strategy.

Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
2.1.1	Records documenting the development and establishment of the institution's learning support strategy: key records.			Superseded + 10 years	Archive	JISC	
2.2.2	Records documenting the development and establishment of the institution's learning support strategy: working papers.			Issue of strategy + 1 year	Destroy	JISC	

2.2 Learning Support Policy Development

The activities involved in developing and establishing the institution's policies on learning support.

Activities include: identifying requirements for new / revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
2.2.1	Records documenting the development and establishment of the institution's learning support policies: key records.			Superseded + 10 years	Archive	JISC	
2.2.2	Records documenting the development and establishment of the institution's learning support policies: working papers			Issue of policy + 1 year	Destroy	JISC	

2.3 Learning Support Procedures Development

The activities involved in developing the institution's procedures for developing and delivering learning support resources.

Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
2.3.1	Records documenting the development of the institution's procedures relating to learning support.			Issue of procedures + 1 year	Destroy	JISC	
2.3.2	Master copies of procedures relating to learning support.			Superseded + 5 years	Review for archival value	JISC	

2.4 Learning Support Resource Development

The activities involved in developing learning support resources.

The activities involved will depend on the type of resource being developed.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
2.4.1	The types of records produced will depend on the type of resource being developed.		LCSS-LR	Life of resource + 2 years	Review for archival value	JISC	

2.5 Learning Support Resource Delivery

The activities involved in delivering learning support resources.

The activities involved will depend on the type of resource being provided.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
2.5.1	The types of records produced will depend on the type of resource being developed.	Study Skills	LCSS-LR	Life of resource + 2 years OR Current year + 1 year	Destroy	JISC	

2.6 Learning Support Resource Administration

The activities involved in administering learning support resources.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
2.6.1	Records documenting the administration of Learning Support Resources	Student appointment sheets Tutorials log Workshops attendance registers Student profiling	LCSS-LR	Current year + 1 year	Destroy	Internal Guidance	

RESEARCH

3 Research

The function of undertaking academic research. (N1)

N1 This function is intended to cover the conduct of all academic research, whether its is funded by the institution itself or by external organisations, or by both. It is also intended to cover research undertaken in collaboration with other institutions.

3.1 Research Strategy Development

The activities involved in developing and establishing the institution's research strategy.

Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
3.1.1	Records documenting the development and establishment of the institution's research strategy: key records.		Research Office	Superseded + 10 years	Archive	JISC	
3.1.2	Records documenting the development and establishment of the institution's research strategy: working papers.		Research Office	Issue of strategy + 1 year	Destroy	JISC	

3.2 Research Policy Development

The activities involved in developing and establishing the institution's policies on research.

Activities include: identifying requirements for new / revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
3.2.1	Records documenting the development and establishment of the institution's research policies: key records.		Research Office	Superseded + 10 years	Archive	JISC	
3.2.2	Records documenting the development and establishment of the institution's research policies: working papers.		Research Office	Issue of policy + 1 year	Destroy	JISC	

3.3 Procedures Development

The activities involved in developing the institution's procedures for undertaking research.

Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
3.3.1	Records documenting the development of the institution's procedures relating to research.		Research Office	Issue of procedures + 1 year	Destroy	JISC	
3.3.2	Master copies of procedures relating to research.		Research Office	Superseded + 10 years	Review for archival value	JISC	

3.4 Research Quality & Standards Management

The activities involved in managing the quality and standards of research undertaken in the institution.

Activities include: conducting internal reviews of research quality and standards; facilitating and participating in external reviews of research quality and standards (e.g. Research Assessment Exercise).

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
3.4.1	Records documenting the development of the institution's internal quality assurance processes.		Research Office	While current	Archive	JISC	
3.4.2	Records documenting the conduct and results of formal internal reviews of research quality, and responses to the results.		Research Office	Current academic year + 5 years	Archive	JISC	
3.4.3	Records documenting the conduct and results of external reviews and audits of research quality and standards.		Research Office	Current academic year + 5 years	Archive	JISC	

3.5 Research Business Development

The activities involved in promoting the institution's research capabilities and profile, and in developing new research opportunities.

Activities include: liaising with research sponsors to monitor their research policies and objectives, and to promote the institution's research capabilities, projects and achievements; identifying and developing new research opportunities; identifying and targeting research funding opportunities; identifying and developing opportunities for collaboration and partnership to undertake research.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
3.5.1	Records documenting liaison with research sponsors to monitor their research policies and to promote the institution's capabilities.		Research Office/ Faculties	Current academic year + 5 years	Destroy	JISC	

3.5.2	Records documenting the identification and exploration of new research opportunities which lead to research projects.		Research Office/ Faculties	Completion of project	Review for archival value	JISC	
3.5.3	Records documenting the identification and exploration of new research opportunities which do not lead to research projects.		Research Office/ Faculties	Last action + 5 years	Destroy	JISC	
3.5.4	Records documenting the formation and management of partnerships and other collaborative arrangements to undertake research.		Research Office/ Faculties	Life of partnership/ arrangement + 6 years	Review for archival value	1980 c. 58 s 5	

3.6 Research Design & Planning

The activities involved in designing and planning research projects.

Activities include: generating, capturing and developing ideas for research projects; defining research aims and objectives; defining research methods; defining project roles and responsibilities; securing necessary ethical reviews and regulatory approvals; determining requirements for project resources; preparing research proposals.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
3.6.1	Records documenting the design and planning of research projects that are not undertaken.		Research Office/ Faculties	Abandonment of plans + 1 year	Destroy	JISC	Retention for a longer period may be advisable depending on the reasons for abandoning the project.
3.6.2	Records documenting the design and planning of research projects that are undertaken: key records.	Ethical approvals	Research Office/ Faculties	Completion of project + 10 years	Review for archival value	JISC	This recommended retention period is in line with retention period for records documenting the conduct of research.
3.6.3	Records documenting the		Research	Completion of project	Destroy	JISC	

	design and planning of research projects which are undertaken: working papers.		Office/ Faculties				
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3.7 Research Funding Administration

The activities involved in obtaining and administering research funding through grants and contracts, and in co-ordinating the institution's relationship with individual funders.

Activities include: preparing and submitting applications for funding; negotiating (where applicable) terms and conditions of funding; accepting (or declining) funding awards; administering funding in accordance with award terms and conditions (claiming payments from funders, re-allocating funds within budgets etc.); administering amendments to awards (e.g. supplements, extensions, early termination); submitting reports required by funders.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
3.7.1	Records documenting the preparation and submission of applications for funding, where the application is unsuccessful (i.e. does not result in the offer of a funding award).	Research grant applications	Research Office/ Faculties	Receipt of notification that application was unsuccessful +1 year	Destroy	JISC	
3.7.2	Records documenting the preparation and submission of applications for funding, where the application is successful (i.e. results in the offer of a funding award).	Research grant applications	Research Office/ Faculties	Completion of project (i.e. termination of award) + 6 years	Destroy	1980 c58s5	

3.8 Research Conduct

The activities involved in conducting research.

Activities include: developing and establishing research protocols and procedures; obtaining approval for subsequent amendments to, or deviations from, protocols and procedures; carrying out research in accordance with project protocols and procedures, and with all legal and ethical requirements; identifying and reviewing issues and risks which arise in the course of research work, and taking appropriate action; obtaining approval for modifications to the design of research; managing research data.

Depending on the discipline and on the nature of research, specific activities might also include: obtaining informed consent from participants in health-related studies; reporting adverse reactions or adverse events in clinical studies; consulting beneficiaries/consumers (e.g. in applied research); conducting surveys.

For purchasing equipment and consumables, use the relevant categories in PROCUREMENT.

For calibrating and maintaining equipment, use the relevant categories in EQUIPMENT & CONSUMABLES MANAGEMENT.

For disposing of waste materials, use ENVIRONMENTAL MANAGEMENT - WASTE MANAGEMENT.

For dealing with hazardous materials and other health and safety issues, use the relevant categories in HEALTH & SAFETY MANAGEMENT.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
3.8.1	Records documenting the conduct of research funded by the Medical Research Council, except where other requirements are specified.		Faculties	Completion of project + 10 years	Review for archival value	Medical Research Council, Good Research Practice, section 5.2	The Medical Research Council requirement is specifically for primary research data. However, retaining full records of research studies is recommended.

3.8.2	Records documenting the conduct of clinical or public health studies funded by the Medical Research Council, except specific categories of records in studies for which consent was obtained.		Faculties	Completion of project + 20 years	Review for archival value	Medical Research Council, Good Research Practice, section 5.2 Medical Research Council, Personal Information in Medical Research, section 7.1.2	The Medical Research Council requires full records of these studies to be retained for this minimum period and advises that retention for a longer period may be required where studies were of historical importance, where novel clinical interventions were first used, where studies have proved controversial or where research is ongoing.
3.8.3	Records documenting the protocol, the consent procedure, the participants and adverse effects in all studies (for which consent was obtained) funded by the Medical Research Council.		Faculties	Completion of project + 30 years	Review for archival value	Medical Research Council, Personal Information in Medical Research, section 7.1.2	
3.8.4	Records documenting the conduct of all other research funded by all other organisations.	Clinical report forms Questionnaires Interview / focus group tapes Data sets for archiving Samples Protocols Consent forms	Faculties	Completion of project + 10 years	Review for archival value	Stated or implied requirements of UK Research Councils and other significant research sponsors.	A shorter or longer retention period may be appropriate, depending on the discipline and the characteristics of the project, or may be required by a research sponsor.

						See Guidance on Managing Research Records.	
3.8.5	Reports of research projects	Final reports Journal articles	Faculties	Completion of project + 5 years	Review for archival value	JISC v.2	Hardcopy of journal articles need to be kept in hardcopy for RAE

3.9 Research Reporting

The activities involved in disseminating research results.

Activities include: publishing research results; presenting research results at technical meetings.

For ensuring protection for new intellectual property before disclosure of research results, use INTELLECTUAL PROPERTY MANAGEMENT - INTELLECTUAL PROPERTY PROTECTION.

For organising events to present research results, create a new Activity using the framework provided in GENERIC BUSINESS ACTIVITIES - EVENTS.

For publicising research results through the print or broadcast media, use MEDIA RELATIONS MANAGEMENT - MEDIA COMMUNICATIONS.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
3.9.1	Working papers for the preparation of publications, audio-visual presentations etc. to disseminate research results (NOT interim or final research reports).		Research Office/ Faculties	Publication/Delivery + 1 year	Destroy	JISC	This category does NOT include interim or final reports of research studies, which are covered by RESEARCH - RESEARCH CONDUCT

3.9.2	Final versions of publications and presentations made to disseminate research results (NOT interim or final research reports).		Research Office/ Faculties	Publication/Delivery + 3 years	Review for archival value	JISC	This category does NOT include interim or final reports of research studies, which are covered by RESEARCH - RESEARCH CONDUCT
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3.10 Research Project Management

The activities involved in managing the conduct of research projects from formal initiation (following receipt of funding) to formal completion.

Activities include: monitoring and tracking the progress of research; preparing reports for project stakeholders; arranging appropriate insurance; managing project resources and complying with institutional policies and procedures to protect project staff, participants and the environment; facilitating and assisting with monitoring activities and audits conducted by the institution, by external project sponsors/funders or by regulatory bodies; selecting research partners and subcontractors, and managing relationships with them; managing the process of offering research data to, and depositing it with, external research data archives, and ensuring future compliance with the terms and conditions of deposit.

For recruiting research students, use STUDENT ADMINISTRATION - STUDENT RECRUITMENT.

For managing research staff, use the relevant categories in HUMAN RESOURCES MANAGEMENT.

For purchasing equipment and consumables, use the relevant categories in PROCUREMENT.

For negotiating and establishing contracts/agreements, use LEGAL AFFAIRS - CONTRACTS & AGREEMENTS.

For arranging insurance, use the relevant categories in INSURANCE MANAGEMENT.

For calibrating and maintaining equipment, use the relevant categories in EQUIPMENT & CONSUMABLES MANAGEMENT.

For identifying and protecting new intellectual property, use the relevant categories in INTELLECTUAL PROPERTY RIGHTS (IPR) MANAGEMENT.

For disposing of waste materials, use ENVIRONMENTAL MANAGEMENT - WASTE MANAGEMENT.

For dealing with hazardous materials and other health and safety issues, use the relevant categories in HEALTH & SAFETY MANAGEMENT.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
3.10.1	Records documenting the management of internally-funded research projects.	Project plans Minutes of project meetings Insurance details	Research Office/ Faculties/ Project Manager	Completion of project + 3 years	Destroy	Common internal audit requirement	

3.10.2	Records documenting the management of externally-funded research projects.	Project plans Minutes of project meetings Insurance details	Research Office/ Faculties/ Project Manager	Completion of project + 6 years	Destroy	1980 c. 58	Retention for a longer period might be required by a research sponsor
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4 Research Programme Provision

The function of delivering the institution's research programmes which lead to academic awards. (N1)

N1 This function is intended to cover the delivery of all research programmes, regardless of the award they lead to and whether they are delivered through traditional or newer approaches.

Code of practice for the assurance of academic quality and standards in higher education, Section 1: Postgraduate research programmes, Quality Assurance Agency, 2004: 'PhD programmes (including the New Route PhD and PhDs awarded on the basis of published work); all forms of taught or professional doctorate; research master's degrees where the research component (including a requirement to produce original work), is larger than the taught component when measured by student effort.'

4.1 Research Programme Development

The activities involved in developing the institution's research programmes.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
4.1.1	Records documenting the development of the institution's research programmes.		Research Office/ Faculties	Life of programme + 10 years	Archive	JISC	
4.1.2	Records documenting routine monitoring of external developments and trends to inform the development of the institution's research programmes.		Research Office/ Faculties	Current academic year + 1 year	Destroy	JISC	

4.2 Research Programme Review

The activities involved in reviewing the institution's research programmes.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
4.2.1	Records containing data on, and analyses of, student numbers and other programme statistics.		Research Office/ Faculties	Current academic year + 3 years	Destroy	JISC	
4.2.2	Records containing reports of routine internal reviews of research programmes.		Research Office/ Faculties	Current academic year + 5 years	Review for archival value	JISC	
4.2.3	Records documenting the conduct and results of formal independent reviews of research programmes, and the responses to the results.		Research Office/ Faculties	Current academic year + 5 years	Review for archival value	JISC	

4.3 Research Programme Assessment

The activities involved in conducting formal assessments of students undertaking research programmes.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
4.3.1	Records documenting the conduct of formal assessments of work undertaken by research students.	Theses	Faculties	Completion of student's programme + 6 years	Review for archival value	1980c.58 s.5	One copy of MPhil and PhD thesis are already sent to the LRC
4.3.2	Records documenting awards and classifications, including reviews in response to notifications of mitigating circumstances or academic appeals.		Faculties	Current academic year + 6 years	Destroy	1980 c.58 s.5	

4.4 Research Supervisor Appointment & Training

The activities involved in appointing research supervisors and in providing training for them.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
4.4.1	Records documenting the appointment of supervisors for research students.		Faculties	Termination of appointment + 1 year	Destroy	JISC	

4.5 Research Student Monitoring & Support

The activities involved in monitoring, reviewing and supporting research students' progress.

Activities include: providing support and guidance to research students on subject selection; providing feedback to students on their progress; conducting formal reviews of student progress; providing students with general academic advice and guidance; providing students with opportunities to develop their research and other skills; providing advice and guidance to students whose progress is unsatisfactory or who are considering suspending or terminating their studies.

For conducting formal proceedings against students whose performance or progress is unsatisfactory, use STUDENT ADMINISTRATION - STUDENT DISCIPLINARY CASE HANDLING.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
4.5.1	Records documenting academic advice and guidance to individual students on the selection of research subjects and on the progress and standard of their work.		Faculties	Completion of student's programme + 6 years	Destroy	1980 c.58 s.5	

KNOWLEDGE TRANSFER AND ENTERPRISE

5 Intellectual Property Rights Exploitation

The function of commercially exploiting the institution's *intellectual property* (D1) rights. (N1)

For protecting intellectual property, use INTELLECTUAL PROPERTY RIGHTS (IPR) MANAGEMENT - IPR PROTECTION.

D1 *Intellectual property* means: patents; trademarks; designs; copyright.

N1 This function is intended to cover IPR exploitation which is carried out directly by the institution. Where IPR exploitation is carried out through a related company, use the relevant categories within the Function for the company (or add a Function for the company using the framework provided in RELATED COMPANIES). The functions and activities of individual related companies are outside the scope of this Business Classification Scheme but the activities involved in exploiting IPR will be similar to those outlined here.

5.1 IPR Exploitation Strategy Development

The activities involved in developing and establishing the institution's strategy for commercially exploiting its IPR.

Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
5.1.1	Records documenting the development and establishment of the institution's IPR exploitation strategy: key records.		CSO	Superseded + 10 years	Archive	JISC	
5.1.2	Records documenting the development and establishment of the institution's IPR exploitation strategy: working papers.		CSO	Issue of strategy + 1 year	Destroy	JISC	

5.2 IPR Exploitation Policy Development

The activities involved in developing and establishing the institution's policies on commercial exploitation of its IPR.

Activities include: identifying requirements for new / revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
5.2.1	Records documenting the development and establishment of the institution's policies on IPR exploitation: key records.		CSO	Superseded + 10 years	Archive	JISC	
5.2.2	Records documenting the development and establishment of the institution's policies on IPR exploitation: working papers.		CSO	Issue of policy + 1 year	Destroy	JISC	

5.3 IPR Exploitation Procedures Development

The activities involved in developing the institution's procedures for commercially exploiting its IPR.

Activities include: identifying needs for new / revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
5.3.1	Records documenting the development of the institution's procedures relating to IPR exploitation.		CSO	Issue of procedures + 1 year	Destroy	JISC	
5.3.2	Master copies of procedures relating to IPR exploitation.		CSO	Superseded + 5 years	Review for archival value	JISC	

5.4 IPR Assignment

The activities involved in selling or otherwise transferring ownership of the institution's IPR to third parties.

Activities include: negotiating terms of IPR assignments; informing The (UK) Patent Office of the assignment; determining arrangements for revenue sharing between the institution and the inventor.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
5.4.1	Records documenting the negotiation and completion of IPR assignments to third parties.		CSO	Life of IPR + 6 years	Destroy	1980 c. 58 s 5	

5.5 IPR Licensing

The activities involved in licensing the institution's IPR rights to external organisations.

Activities include: negotiating terms of licences; registering licences (and cancelling licences) with The (UK) Patent Office; determining arrangements for revenue sharing between the institution and the inventor.

For processing financial transactions associated with receiving and allocating income from royalties and other licensing arrangements, use FINANCE MANAGEMENT - FINANCIAL ACCOUNTING.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
5.5.1	Records documenting the negotiation and completion of IPR licence agreements to third parties.		CSO	Termination of licence + 6 years	Destroy	1980 c. 58 s 5	

6 Consultancy

The function of providing *consultancy* (D1) to external organisations on a commercial basis. (N1) (N2)

D1 *Consultancy* means the provision of expert advice to external organisations by institutional staff. It excludes: work which is generally considered as part of normal academic duties (e.g. external examining work for other institutions, service on RAE panels); private consultancy work undertaken by institutional staff (i.e. external paid work which is carried out with the knowledge and approval of the institution but which makes no demands on the institution and for which the institution claims, and has, no liability or responsibility).

N1 This function is intended to cover the provision of all consultancy, regardless of its nature (e.g. advice, training, product development, expert witness services) and how it is provided.

N2

This function is intended to cover consultancy which is provided directly by the institution. Where consultancy is carried out through a related company, use the relevant categories within the Function for the company (or add a Function for the company using the framework provided in RELATED COMPANIES). The functions and activities of individual related companies are outside the scope of this Business Classification Scheme but the activities involved in providing consultancy will be similar to those outlined here.

6.1 Consultancy Strategy Development

The activities involved in developing and establishing the institution's strategy for providing consultancy on a commercial basis.

Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
6.1.1	Records documenting the development and establishment of the institution's consultancy strategy: key records.		CSO	Superseded + 5 years	Archive	JISC	
6.1.2	Records documenting the development and establishment of the institution's consultancy strategy: working papers.		CSO	Issue of strategy + 1 year	Destroy	JISC	

6.2 Consultancy Policy Development

The activities involved in developing and establishing the institution's policies on providing consultancy on a commercial basis.

Activities include: identifying requirements for new / revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
6.2.1	Records documenting the development and establishment of the institution's policies on consultancy: key records.		CSO	Superseded + 5 years	Archive	JISC	
6.2.2	Records documenting the development and establishment of the institution's policies on consultancy: working papers.		CSO	Issue of policy + 1 year	Destroy	JISC	

6.3 Consultancy Procedures Development

The activities involved in developing the institution's procedures for providing consultancy on a commercial basis.

Activities include: identifying needs for new / revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
6.3.1	Records documenting the development of the institution's procedures relating to consultancy.		CSO	Issue of procedures + 1 year	Destroy	JISC	
6.3.2	Master copies of procedures relating to consultancy.		CSO	Superseded + 3 years	Review for archival value	JISC	

6.4 Consultancy Promotion

The activities involved in promoting the expertise of the institution's staff.

Activities include: maintaining directories of expertise and services.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
6.4.1	Directories of expertise		CSO	Current	Destroy	JISC	Retention must comply with the provisions of the Data Protection Act 1998.

6.5 Consultancy Prospect Management

The activities involved in responding to enquiries about the institution's consultancy services and in bidding for consultancy contracts

Activities include: handling enquiries about the institution's consultancy capabilities/availability/terms; preparing proposals/tenders for consultancy projects.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
6.5.1	Records documenting the handling of enquiries about consultancy, where no further action is taken.		CSO	Last action on enquiry + 1 year	Destroy	JISC	
6.5.2	Records documenting the preparation and submission of consultancy		CSO	Receipt of notification that proposal/tender was	Destroy	JISC	

	proposals/tenders, where the proposal/tender is unsuccessful (i.e. does not result in a contract).			unsuccessful + 1 year			
6.5.3	Records documenting the preparation and submission of consultancy proposals/tenders, where the proposal/tender is successful (i.e. results in a contract): key records.		CSO	Termination of contract + 6 years	Destroy	1980 c. 58 s 5	
6.5.4	Records documenting the preparation and submission of consultancy proposals/tenders, where the proposal/tender is accepted (i.e. results in a contract): working papers.		CSO	Agreement of contract	Destroy	JISC	

6.6 Consultancy Contract Management

The activities involved in negotiating and managing contracts to provide consultancy.

Activities include: negotiating contract terms and conditions; negotiating variations to contracts.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
6.6.1	Records documenting the negotiation and agreement of contracts, and subsequent variations to contracts: key records.	Contracts	CSO	Termination of contract + 6 years	Destroy	1980 c. 58 s 5	

6.6.2	Records documenting the negotiation and agreement of contracts, and subsequent variations to contracts: working papers.		CSO	Agreement of contract	Destroy	JISC	
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6.7 Consultancy Project Delivery

The activities involved in providing consultancy.

Activities depend on the type of consultancy being provided. They might include: conducting research; conducting surveys/audits; providing advice; giving presentations, facilitating workshops, providing training.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
6.7.1	Records documenting the management of consultancy projects: key records.		CSO	Termination of contract + 3 years	Destroy	Common audit requirement	
6.7.2	Records documenting the management of consultancy projects: working papers.		CSO	Termination of contract	Destroy	JISC	

6.8 Consultancy Project Management

The activities involved in managing the conduct of consultancy projects from formal initiation to formal completion.

Activities include: monitoring and tracking the progress of work; preparing reports for clients and other stakeholders; arranging appropriate insurance; managing project resources and ensuring compliance with institutional policies and procedures; maintaining project records.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
6.8.1	Records documenting the scheduling of meetings, interviews and other project work.		CSO	Termination of contract	Destroy	JISC	
6.8.2	Records documenting		CSO	Termination of		Common	Information/records provided by

	substantive project work.			contract + 3 years		audit requirement	clients may be returned to them at the end of projects.
6.8.3	Records documenting project deliverables/outcomes: draft versions and working papers		CSO	Termination of contract		JISC	
6.8.4	Records documenting project deliverables/outcomes: final versions and confirmations of client acceptance.		CSO	Termination of contract + 6 years		1980 c. 58 s 5	

7 Education and Training

The function of delivering education and training programmes for external organisations, and for the public. (N1) (N2)

N1 This function is intended to cover the delivery of all education and learning programmes, regardless of their purpose (e.g. continuing education, access to higher education, continuous professional development) and whether they are delivered using traditional teaching methods (e.g. lectures, seminars, practical instruction) or newer methods (e.g. distance learning, e-learning, blended learning, workplace learning).

N2 This function is intended to cover education and training programmes which are provided directly by the institution. Where education and training programmes are provided through a related company, use the relevant categories within the Function for the company (or add a Function for the company using the framework provided in RELATED COMPANIES). The functions and activities of individual related companies are outside the scope of this Business Classification Scheme but the activities involved in providing education and training programmes will be similar to those outlined here.

7.1 Education & Training Strategy Development

The activities involved in developing and establishing the institution's strategy for providing education and training programmes for external organisations, and for the public.

Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal	Retention	Notes
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					Action	authority	
7.1.1	Records documenting the development and establishment of the institution's education and training strategy: key records.		CeLL	Superseded + 10 years	Archive	JISC	
7.1.2	Records documenting the development and establishment of the institution's education and training strategy: working papers.		CeLL	Issue of strategy + 1 year	Destroy	JISC	

7.2 Education & Training Policy Development

The activities involved in developing and establishing the institution's policies on providing education and training programmes for external organisations, and for the public.

Activities include: identifying requirements for new / revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
7.2.1	Records documenting the development and establishment of the institution's policies on education and training: key records.		CeLL	Superseded + 10 years	Archive	JISC	

7.2.2	Records documenting the development and establishment of the institution's policies on education and training: working papers.		CeLL	Issue of policy + 1 year	Destroy	JISC	
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7.3 Education & Training Procedures Development

The activities involved in developing the institution's procedures for providing education and training programmes for external organisations, and for the public.

Activities include: identifying needs for new / revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
7.3.1	Records documenting the development of the institution's procedures relating to education and training.		CeLL/CSO	Issue of procedures + 1 year	Destroy	JISC	
7.3.2	Master copies of procedures relating to education and training.		CeLL/CSO	Superseded + 5 years	Review for archival value	JISC	

7.4 Education / Training Registration

The activities involved in registering students on education and training programmes.

Activities include: advising students on selection of programmes and modules; confirming payment of fees.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
7.4.1	Records documenting the registration of students on education and training programmes.	Glamorgan Outreach Enrolment forms	CeLL/CSO	Termination of student relationship + 6 years	Destroy	1980 c.58 s5	

7.5 Education / Training Records Administration

The activities involved in administering student records on education and training programmes.

Activities include: keeping details of students who have accessed courses/events, completion of consent forms.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
7.5.1	Records documenting parental permission to attend courses organised by First Campus.	Parental consent forms Special requirements forms	CeLL	Completion of event + 5 years	Destroy	Internal Guidance	If and incident or accident occurs during the event, forms must then be retained until the child reaches the age of 25.
7.5.2	Records documenting consent for use of photographs.	Consents for use of photographs forms Photographs	CeLL	Whilst photographs are kept While current	Destroy Review for archival value	Internal Guidance	
7.5.3	Records documenting details on mentoring programmes.		CeLL	End of placement + 3 years	Destroy	Internal Guidance	
7.5.4	Records documenting work placement information.	Code of conduct	CeLL	End of placement + 3 years	Destroy	Internal Guidance	

7.6 Education / Training Programme Development

The activities involved in developing education and training programmes.

Activities include: developing new programmes and new modules in existing programmes; making changes to existing programmes and modules; withdrawing programmes or modules; obtaining and maintaining accreditation for programmes.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
7.6.1	Records documenting the development of education and training programmes.		CeLL/CSO	Life of programme + 5 years	Destroy	JISC	

7.7 Education / Training Programme Review

The activities involved in reviewing education and training programmes to inform ongoing programme development.

Activities include: collecting and analysing student numbers and other programme statistics; collecting, reviewing and responding to feedback on programmes from staff and students.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
7.7.1	Records containing data on, and analyses of, student numbers and other programme statistics.		CeLL/CSO	Current academic year + 5 years	Destroy	JISC	
7.7.2	Records documenting the design of evaluation forms /feedback forms and the (anonymised, if necessary) analysis of responses.		CeLL/CSO	Completion of analysis + 3 years	Destroy	Internal Guidance	
7.7.3	Individual responses to evaluation forms/feedback forms.		CeLL/CSO	Completion of analysis of responses	Destroy	Internal Guidance	If responses identify individuals, these records must be retained in accordance with the provisions of the Data Protection Act 1998 (c.29).

7.8 Education / Training Programme Delivery

The activities involved in delivering education or training programmes.

Activities include: preparing teaching and learning materials; planning and conducting teaching and learning events.

Teaching and learning materials may be in any medium and format.

Teaching and learning events includes: lectures; tutorials; seminars; workshops; field trips; work placements.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
7.8.1	Records documenting the preparation of teaching and learning materials.		CeLL/CSO	Current academic year + 1 year	Destroy	JISC	
7.8.2	Records documenting the planning and conduct of teaching and learning events.		CeLL/CSO	Current academic year + 1 year	Destroy	JISC	

7.9 Education / Training Programme Co-ordination

The activities involved in co-ordinating the delivery education or training programmes.

Activities include: timetabling, monitoring students attendance.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
7.9.1	Records documenting the administration of teaching and learning programmes.		CeLL/CSO	Current academic year + 1 year	Destroy	Internal Guidance	

7.10 Education / Training Programme Assessment

The activities involved in assessing students' progress and attainment on education and training programmes.

Activities include: setting assessments; marking/grading assessments; reviewing marks/grades awarded in response to notifications of mitigating circumstances; conducting meetings of/with examiners/assessors to confirm marks/grades; determining awards and classifications.

Assessments means written and practical examinations and all other forms of assessed work.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
7.10.1	Records documenting the design and development of assessments.		CELL/CSO	Life of programme	Destroy	JISC	
7.10.2	Records documenting submitted/completed assessments: formative assessments.		CELL/CSO	Current academic year	Destroy	JISC	
7.10.3	Records documenting submitted/completed assessments: summative assessments.		CELL/CSO	Confirmation of marks/grades + 1 year	Destroy	Internal Guidance	
7.10.4	Records documenting marks/grades given to submitted/completed summative assessments and, where appropriate, awards and classifications.		CELL/CSO	Current academic year + 6 years	Destroy	1980 c. 58 s 5	

7.11 Education / Training Contract Management

The activities involved in negotiating and managing contracts with external organisations for the provision of bespoke education and training programmes.

Activities include: negotiating contract terms and conditions; negotiating subsequent variations to contracts.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
7.11.1	Records documenting the negotiation and establishment of contracts.		CSO	Termination of contract + 6 years	Destroy	1980 c. 58 s 5	

8 Related Companies Management

The function of setting up and managing *related companies* (D1). (N1)

For the establishment and management of individual related companies, add a new Function for each company using the framework provided in RELATED COMPANIES.

D1 A *related company* is 'Any legal entity where the institution has control over, or exercises a substantial degree of influence over, that company's activities.' (Related Companies: guidance for higher education institutions, HEFCE 2005/48, Glossary). This HEFCE guidance contains detailed information about the different types of legal entity which may be used to establish a related company.

N1 This function is intended to cover the corporate management of all related companies established by the institution, regardless of their purpose or legal form. For managing an individual related company, use the framework provided in RELATED COMPANIES.

8.1 Related Companies Strategy Development

The activities involved in developing and establishing the institution's strategy for setting up and managing related companies.

Activities include: identifying requirements for new / revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
8.1.1	Records documenting the development and establishment of the institution's related companies strategy: key records.		CSO	Superseded + 10 years	Archive	JISC	
8.1.2	Records documenting the development and establishment of the institution's related companies strategy: working papers.		CSO	Issue of strategy + 1 year	Destroy	JISC	

8.2 Related Companies Policy Development

The activities involved in developing and establishing the institution's policies on the formation and management of related companies.

Activities include: identifying requirements for new / revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
8.2.1	Records documenting the development and establishment of the institution's policies on the formation and management of related companies: key records.		CSO	Superseded + 10 years	Archive	JISC	
8.2.2	Records documenting the development and establishment of the institution's policies on the formation and management of related companies: working papers.		CSO	Issue of policy + 1 year	Destroy	JISC	

8.3 Related Companies Procedures Development

The activities involved in developing the institution's procedures for the formation and management of related companies.

Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
8.3.1	Records documenting the development of the institution's procedures relating to the formation and management of related companies.		CSO	Issue of procedures + 1 year	Destroy	JISC	
8.3.2	Master copies of procedures relating to the formation and management of related companies.		CSO	Superseded + 10 years	Archive	JISC	

9 Commercial Services Management

The function of providing services to external organisations or to the public on a commercial basis. (N1) (N2)

For providing individual commercial services, add a new Function for each service, using the framework provided in COMMERCIAL SERVICES.

N1 This function is intended to cover the provision of all commercial services, regardless of their nature and how they are provided, with the exception of consultancy services which are covered by CONSULTANCY.

N2 This function is intended to cover the corporate management of all commercial services which are provided directly by the institution. Where a commercial service is provided through a related company, use the relevant categories within the Function for the company (or add a Function for the company using the framework provided in RELATED COMPANIES).

9.1 Commercial Services Strategy Development

The activities involved in developing and establishing the institution's strategy for providing commercial services.

Activities include: identifying requirements for new / revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
9.1.1	Records documenting the development and establishment of the institution's commercial services strategy: key records.		CSO	Superseded + 5 years	Archive	JISC	
9.1.2	Records documenting the development and establishment of the institution's commercial services strategy: working papers.		CSO	Issue of strategy + 1 year	Destroy	JISC	

9.2 Commercial Services Policy Development

The activities involved in developing and establishing the institution's policies on providing commercial services.

Activities include: identifying requirements for new / revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
9.2.1	Records documenting the development and establishment of the institution's policies on the management of commercial services: key records.		CSO	Superseded + 5 years	Archive	JISC	

9.2.2	Records documenting the development and establishment of the institution's policies on the management of commercial services: working papers.		CSO	Issue of policy + 1 year	Destroy	JISC	
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9.3 Commercial Services Procedures Development

The activities involved in developing the institution's procedures for the providing commercial services.

Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
9.3.1	Records documenting the development of the institution's procedures relating to the management of commercial services.		CSO	Issue of procedures + 1 year	Destroy	JISC	
9.3.2	Master copies of procedures relating to the management of commercial services.		CSO	Superseded + 3 years	Archive	JISC	

ACADEMIC ADMINISTRATION

10 Student Administration

The function of administering the institution's contractual relationship with its students.

10.1 Student Administration Policy Development

The activities involved in developing and establishing the institution's policies on student administration.

Activities include: identifying requirements for new / revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
10.1.1	Records documenting the development and establishment of the institution's student administration policies: key records.	Parts of the Academic Handbook	Academic Registry	Superseded + 10 years	Archive	JISC	
10.2.2	Records documenting the development and establishment of the institution's student administration policies: working papers.		Academic Registry	Issue of policy + 1 year	Destroy	JISC	

10.2 Student Administration Procedures Development

The activities involved in developing the institution's procedures for the administration of students.

Activities include: identifying needs for new / revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
10.2.1	Records documenting the development of the institution's procedures relating to student administration.		Academic Registry	Issue of procedures + 1 year	Destroy	JISC	
10.2.2	Master copies of procedures relating to student administration.		Academic Registry	Superseded + 10 years	Review for archival value	JISC	

10.3 Student Recruitment

The activities involved in recruiting students to the institution.

Activities include: collecting prospective students' data, designing and conducting student recruitment campaigns (including direct and electronic marketing campaigns; designing and organising student recruitment events (e.g. open days, applicant days and recruitment fairs); designing and operating student recruitment schemes (e.g. Faculty liaison); issuing recruitment materials (e.g. to Faculties and applicants); handling enquiries from prospective students; analysing recruitment and retention data.

For designing and placing student recruitment advertisements, use MARKETING - ADVERTISING.

For producing publications, use PUBLISHING - PUBLICATION PRODUCTION.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
10.3.1	Records documenting the design, conduct and summary results of student recruitment campaigns, including mass, direct and electronic marketing campaigns.	Recruitment campaigns, International recruitment campaigns	Marketing and Student Recruitment	Completion of campaign + 5 years	Archive	JISC	
10.3.2	Records documenting the design, organisation and summary results of student recruitment events, including	Open days records, Recruitment fairs records	Marketing and Student Recruitment	Completion of event + 5 years	Review for archival value	JISC	

	lists of people who have booked a place and subsequently attended/ missed the event.	Lists of prospective students	Marketing and Student Recruitment	Completion of event + 1 year	Destroy	Internal Guidance	
10.3.3	Records documenting the design, operation and summary results of student recruitment schemes. Includes all marketing channels.	Faculty Liaison records	Marketing and Student Recruitment	Current academic year + 5 years OR Termination of scheme + 5 years	Review for archival value	JISC	
10.3.4	Records documenting the issue of student recruitment materials in bulk to Faculties and other organisations. Including sharing of electronic campaigns.		Marketing and Student Recruitment	Current academic year	Destroy	JISC	
10.3.5	Records documenting the handling of enquiries from prospective students. This can range from general enquiries, to requesting a prospectus to booking a place on an open event.		Marketing and Student Recruitment	Current academic year + 1 year	Destroy	JISC	These are held on Distinction CRM System
10.3.6	Records containing summaries and analyses of enquiry, recruitment, conversion and retention data.		Academic Registry	Current academic year + 20 years	Destroy	Internal Guidance	
10.3.7	Records containing personal data of prospective students prior to applying to the University.	Contact records on CRM system	Marketing and Student Recruitment	Current academic year + 1 year	Destroy	Internal Guidance	

10.4 Student Admission

The activities involved in admitting students to the institution.

Activities include: determining and applying admissions criteria; handling applications for admission; administering the clearing process; monitoring overall student numbers.

For equal opportunities monitoring, use EQUALITY & DIVERSITY MANAGEMENT - EQUAL OPPORTUNITIES MONITORING

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
10.4.1	Records documenting the development and establishment of the institution's admission criteria and Admissions Policy	Admissions Policy and Academic Handbook	Marketing and Student Recruitment/ Academic Registry	Superseded + 10 years	Archive	JISC	
10.4.2	Records documenting the handling of applications for admission: successful applications.	UCAS Application forms; Direct Application forms; Offer of place and related correspondence; Acceptance of place and related correspondence Interview Notes and related correspondence E&A Applicant Query form	Marketing and Student Recruitment	End of student relationship + 6 years End of student relationship + 6 years End of student relationship + 6 years End of student relationship +6	Destroy but see notes Destroy but see notes Destroy but see notes Destroy	1980 c.58 s 5 Internal Guidance Internal Guidance	At enrolment, these will be transferred to the Faculties, and will then form part of the student file. Further guidance will be issued on managing student records to identify the 'core' student record to be kept permanently.

				years?			
10.4.3	Records documenting the handling of applications for admission: unsuccessful applications.	UCAS Application forms Direct Application forms	Marketing and Student Recruitment	Completion of admissions process + 1 year (paper) Completion of admissions process + 6 years (electronic)	Destroy	SI 2006/1031 Regulations 23, 39 and 42 SI 2003/1660 Regulations 20, 31 and 34 SI 2003/1661 Regulations 20, 31 and 34 and Internal Guidance	Minimum: Actions under discrimination legislation must usually be brought within 6 months.
		Interview notes and related correspondence;		Completion of admissions process + 1 year	Destroy	Internal Guidance	
		E&A Applicant Query form		Completion of admissions process + 1 year	Destroy	Internal Guidance	
10.4.4	Records documenting the administration of the clearing process to include the electronic clearing proforma	Paper, EBL reports and Exam results Electronic data from Clearing Proforma	Marketing and Student Recruitment	Current academic year + 1 year Current academic year + 6 years	Destroy Destroy	JISC Internal Guidance	
10.4.5	Records containing data on overall student numbers.		Academic Registry	Current academic year + 10 years	Destroy	Internal Guidance	

10.5 Student Registration

The activities involved in registering students in academic programmes.

Activities include: advising students on selection of programmes and modules; confirming payment of fees, including validating evidence of awards which include payment of fees; providing information and advice on funding opportunities for students; issuing student (identification) cards.

For collecting fees, use FINANCE MANAGEMENT - FINANCIAL ACCOUNTING.

For handling payments for replacement student cards, use FINANCE MANAGEMENT - FINANCIAL ACCOUNTING.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
10.5.1	Records documenting the registration of individual students on programmes.	Enrolment forms –new students	Academic Registry	Termination of student relationship + 6 years	Archive	1980 c.58 s 5	
		Enrolment forms-returning students	Faculties/CeLL		Archive		
		Module choice forms Module registration forms Modules confirmation	Faculties/CeLL		Archive		
10.5.2	Records containing summaries and analyses of data on registration of students on programmes		Academic Registry	Current academic year + 20 years	Destroy	Internal Guidance	

10.6 Student Induction

The activities involved in designing and organising *induction programmes* (D1) for new students

Activities include: developing student induction programmes (e.g. Freshers Week); organising programmed events; recruiting and organising staff and students to lead and support programmed events.

D1 *Induction programmes* includes: general orientation programmes for new undergraduate students (e.g. Freshers Week); general introduction programmes for new postgraduate students; customised programmes for specific groups of students (e.g. international students); academic briefings on specialist departments.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
10.6.1	Records documenting the design, conduct and review of induction programmes for new students	Induction guides	Departments/ Faculties	Completion of induction programme + 5 years	Review for archival value	JISC	
10.6.2	Records documenting the administration of induction programmes and events for new students.	International Meet and Greet bookings International welcome week bookings Correspondence	Departments/ Faculties	Current academic year + 1 year	Destroy	JISC	

10.7 Student Records Administration

The activities involved in 1) compiling and maintaining complete and accurate records of the progress, attainment and conduct of students throughout their relationship with the institution 2) making students' records, and aggregated student data and analyses available to departments to support other institutional activities.

Activities include: setting up student records for new students; collecting data and updating student records in accordance with institutional rules and regulations (e.g. data on criminal convictions); conducting standard analyses of data on students; conducting ad hoc analyses of data to meet specific requirements; distributing student records, and aggregated data and analyses, to departments in accordance with institutional rules and regulations and in compliance with legal restrictions on the collection, handling and use of personal data; producing transcripts for current and former students; confirming awards and providing general references for students; conducting First Destination Surveys.

For making students' records available to them, use INFORMATION COMPLIANCE MANAGEMENT - DATA PROTECTION COMPLIANCE.
For handling payments for transcripts, use FINANCE MANAGEMENT - FINANCIAL ACCOUNTING.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
10.7.1	Records containing personal data on individual students	Core data includes data from application and registration including name, first address, academic details; progression data	Faculties/ CeLL Academic Registry for records held	Minimum requirement varies for different types of personal data. Recommended	See notes	1980 c.58 c.5	A core student record needs to be kept permanently. Both to be kept until an active digital preservation programme is in place. See also additional guidance on

		including change of course, prizes, summary of serious disciplinary and mitigating circumstances information, full transcript including year of completion, name and result of award, results of modules, significant correspondence, data required by professional bodies; Non core data includes copies of certificates, change of address forms, routine correspondence	on Quercus Plus	<u>maximum</u> retention: End of 'registered student' relationship with institution + 6 years			student records.
10.7.2	Records containing standard analyses of data from individual students' records.		Academic Registry	Current academic year + 5 years	Review for archival value	JISC	
10.7.3	Records documenting the handling of requests for ad hoc analyses of data from individual students' records.		Academic Registry	Last action on request + 2 years	Destroy	Internal Guidance	
10.7.4	Records documenting the handling of individual students' requests for statements of results/transcripts.	Enquiries Requests	Academic Registry	Last action on request + 1 year	Destroy	JISC	
10.7.5	Records documenting the handling of requests for confirmation of individual students' awards, attendance	DOATAP enquiries	Academic Registry	Last action on request + 1 year	Destroy	JISC	

	or conduct from employers and other educational institutions.						
10.7.6	Records documenting the design and conduct of Destination of Leavers Surveys.		Student Services	Current academic year + 5 years	Review for archival value	JISC	
10.7.7	Destination of Leavers Surveys: individual responses		Student Services	Completion of analysis of responses	Destroy	JISC	
10.7.8	Records containing (anonymised) summaries and analyses of the results of Destination of Leavers Surveys.		Student Services	Previous academic year + 5 years	Archive	Internal Guidance	

10.8 Student Progress Administration

The activities involved in tracking the academic progress of students, administering changes to programmes of study and ensuring that correct procedures are followed.

Activities include: identifying and monitoring unsatisfactory academic performance and progress; administering transfers to new programmes and changes of modules within programmes; verifying that students have satisfied institutional regulations for awards; administering withdrawals from the institution; administering terminations of programmes.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
10.8.1	Records documenting the academic progress of individual students and formal action taken by the institution to deal with unsatisfactory progress.	Progress records Assessment grades Training records	Faculties/ CeLL	Termination of relationship with student + 6 years	Destroy but see notes	1980 c.58 s.5	Retain one copy permanently as part of the core student record.
10.8.2	Records documenting the transfer of individual students to new programmes or to	Transfer forms	Academic Registry/ Faculties	Termination of relationship with	Destroy but see notes	1980 c.58 s.5	Retain one copy permanently as part of the core student record.

	new courses within programmes.			student + 6 years			
10.8.3	Records documenting the withdrawal of individual students from the institution.	Withdrawal forms	Academic Registry/ Faculties	Termination of relationship with student + 6 years	Destroy but see notes	1980 c.58s.5	Retain one copy permanently as part of the core student record.
10.8.4	Records documenting the termination of individual students' programmes.	Suspension forms	Academic Registry/ Faculties	Termination of relationship with student + 6 years	Destroy but see notes	1980 c.58 s.5	Retain one copy permanently as part of the core student record.

10.9 Student Disciplinary Case Handling

The activities involved in conducting disciplinary proceedings against students for breaches of the institution's academic regulations or for misconduct.

Activities include: investigating allegations against students; informing students of disciplinary decisions and imposing penalties; considering appeals by students against disciplinary decisions or penalties imposed.

For providing welfare services to give information, advice and support to students during disciplinary proceedings, add a new function for the service using the framework provided in STUDENT SUPPORT SERVICES.

For monitoring students' progress and informal management (i.e. prior to initiation of formal disciplinary proceedings) of unsatisfactory progress, use TEACHING – TAUGHT STUDENT MONITORING & SUPPORT.

For considering appeals by students against academic decisions, use STUDENT ADMINISTRATION - STUDENT ACADEMIC APPEAL HANDLING.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
10.9.1	Records documenting the conduct and results of disciplinary proceedings against individual students.	Disciplinary case files	Academic Registry	Last action on case + 6 years	Destroy	1980 c.58 s.5	Summary notes of major incidents should be retained on the student file.

10.10 Student Academic Appeal Handling

The activities involved in handling appeals by students against academic decisions.

Activities include: reviewing original marks; considering mitigating circumstances; informing students of decisions on appeals.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
10.10.1	Records documenting the handling and results of academic appeals by individual students.	Academic appeals case files Mitigating circumstances forms and evidence	Academic Registry Faculties	Last action on case + 6 years	Destroy	1980 c.58 s.5	

10.11 Student Complaint Handling

The activities involved in handling formal complaints by students against the institution.

Activities include: reviewing student complaints; informing students of decisions on complaints; referring student complaints for independent review by the Office of the Independent Adjudicator for Higher Education.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
10.11.1	Records documenting the handling of formal complaints made by individual students against the institution.	Stage 1 complaints	Faculties/ Departments	Last action on case + 6 years	Destroy	1980 c.50s.5	
		Stage 2 complaints	Academic Registry	Last action on case + 6 years	Destroy	1980 c.50s.5	
		Stage 3 complaints	Academic Registry	Last action on case + 6 years	Destroy	1980 c.50s.5	

10.11.2	Records documenting the handling of complaints by individual students where the formal complaints procedure is not initiated.		Faculties/ Departments	Last action on complaint + 3 years	Destroy	JISC	
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11 Academic Programme Administration

The function of administering the delivery of the institution's *academic programmes* (D1).

For delivering academic programmes, use TEACHING or RESEARCH PROGRAMME DELIVERY.

D1 *Academic programmes* includes taught programmes and research programmes which lead to academic awards.

11.1 Academic Programme Administration Policy Development

The activities involved in developing and establishing the institution's policies on the administration of academic programmes.

Activities include: identifying requirements for new / revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
11.1.1	Records documenting the development and establishment of the institution's academic programme administration policies: key records.		Academic Registry	Superseded + 5 years	Archive	JISC	

11.1.2	Records documenting the development and establishment of the institution's academic programme administration policies: working papers.		Academic Registry	Issue of policy + 1 year	Destroy	JISC	
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11.2 Academic Programme Administration Procedures Development

The activities involved in developing the institution's procedures for the administration of academic programmes.

Activities include: identifying needs for new / revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
11.2.1	Records documenting the development of the institution's procedures relating to academic programme administration.		Academic Registry	Issue of procedures + 1 year	Destroy	JISC	
11.2.2	Master copies of procedures relating to academic programme administration.		Academic Registry	Superseded + 5 years	Review for archival value	JISC	

11.3 Academic Programme Co-ordination

The activities involved in co-ordinating the delivery of academic programmes.

Activities include: timetabling teaching; compiling class and tutorial lists; scheduling the submission, marking and return of assessed work, and monitoring compliance with these schedules; monitoring students' attendance; organising required work placements; issuing attendance certificates for postgraduate research students.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
11.3.1	Records documenting the administration of academic programmes.	Timetabling/management of teaching space	Academic Registry	Current academic year + 3 years	Destroy	JISC	
		Class/tutorial lists	Faculties/ CeLL	Current academic year + 3 years	Destroy	JISC	
		Schedules for submission, marking and return of coursework	Faculties/ CeLL	Current academic year + 3 years	Destroy	JISC	
		Individual students' submission of coursework	Faculties/ CeLL	Current academic year + 3 years	Destroy	JISC	
		Attendance records	Faculties/ CeLL	Current academic year + 3 years	Destroy	JISC	
		Work placements records	Faculties/ CeLL	Current academic year + 3 years	Destroy	JISC	

12 Academic Award Administration

The function of administering the conferment of the institution's *academic awards* (D1).

D1 *Academic awards* means both awards to students who have successfully completed academic programmes and honorary awards.

12.1 Academic Award Policy Development

The activities involved in developing and establishing the institution's policies on the conferment of academic awards.

Activities include: identifying requirements for new / revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
12.1.1	Records documenting the development and establishment of the institution's academic award administration policies: key records.		Academic Registry	Superseded + 5 years	Archive	JISC	
12.1.2	Records documenting the development and establishment of the institution's academic award administration policies: working papers.		Academic Registry	Issue of policy + 1 year	Destroy	JISC	

12.2 Academic Award Administration Procedures Development

The activities involved in developing the institution's procedures for the administration of academic awards.

Activities include: identifying needs for new / revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
12.2.1	Records documenting the development of the institution's procedures relating to academic award administration.		Academic Registry	Issue of procedures + 1 year	Destroy	JISC	

12.2.2	Master copies of procedures relating to academic award administration.		Academic Registry	Superseded + 5 years	Archive	JISC	
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12.3 Academic Award Conferment

The activities involved in administering the conferment of the institution's academic awards.

For awards to students, activities include: issuing lists and individual notifications of awards; organising the production of awards certificates; issuing awards certificates to students who do not attend awards ceremonies; handling requests for subsequent confirmation of awards from former students or from others in respect of former students.

For honorary awards, activities include: inviting and receiving nominations for honorary awards; considering nominations for honorary awards and preparing recommendations for submission to the appropriate committee; issuing offers of awards and handling responses.

Where the activities relating to the conferment of honorary awards are carried out exclusively by (the secretary to) e.g. a nominations committee, use the relevant category in GOVERNANCE.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
12.3.1	Records documenting the notification of awards to students and the issue of awards certificates.		Academic Registry	Conferment of award + 1 year	Destroy	JISC	
12.3.2	Records documenting the process of inviting, receiving and considering nominations for honorary awards.		Research Office	Conferment of award + 1 year	Destroy	JISC	
12.3.3	Records documenting offers of honorary awards and responses received.		Research Office	Conferment of award + 1 year	Destroy	JISC	

12.4 Award Ceremony Administration

The activities involved in organising *awards ceremonies* (D1).

Activities include: determining dates, times and venues for ceremonies; planning ceremonies; issuing invitations and/or tickets for ceremonies; designing programmes for ceremonies and arranging production and distribution; organising official photography of ceremonies; organising media coverage of ceremonies.

D1 *Awards ceremonies* includes awards ceremonies and official events associated with ceremonies (e.g. receptions, lunches, dinners).

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
12.4.1	Records documenting the organisation of award ceremonies.	Invitation packs	Academic Registry	Completion of ceremony + 1 year	Destroy	JISC	
12.4.2	Records documenting the production of award certificates.		Academic Registry	Completion of ceremony + 1 year	Destroy	JISC	
12.4.3	Records documenting the production of award brochures.		Academic Registry	Completion of ceremony + 1 year	Archive	Internal Guidance	

13 Student Assessment Administration

The function of administering the conduct of student *assessment* (D1).

D1 *Assessment* means all types of formative and summative assessment.

13.1 Academic Assessment Administration Policy Development

The activities involved in developing and establishing the institution's policies on the conduct of academic assessments.

Activities include: identifying requirements for new / revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
13.1.1	Records documenting the development and establishment of the institution's academic assessment administration policies: key records.	Part of Academic Handbook	Academic Registry	Superseded + 10 years	Archive	JISC	
13.1.2	Records documenting the development and establishment of the institution's academic assessment administration policies: working papers.		Academic Registry	Issue of policy + 1 year	Destroy	JISC	

13.2 Academic Assessment Administration Procedures Development

The activities involved in developing the institution's procedures for the conduct of academic assessments.

Activities include: identifying needs for new / revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
13.2.1	Records documenting the development of the institution's procedures relating to academic assessment administration.		Academic Registry	Issue of procedures + 1 year	Destroy	JISC	
13.2.2	Master copies of procedures relating to academic assessment administration.	Academic Handbook	Academic Registry	Superseded + 10 years	Archive	JISC	

13.3 External Examiner Administration

The activities involved in recruiting, appointing and supporting external examiners.

Activities include: recruiting and appointing external examiners; liaising with external examiners on administrative matters (e.g. accommodation, expenses).

For processing external examiners' claims for reimbursement of expenses, use FINANCE MANAGEMENT - FINANCIAL ACCOUNTING.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
13.3.1	Records documenting the selection and appointment of external examiners.	External examiners nominations, appointments	Academic Registry	Termination of appointment + 1 year	Destroy	JISC	
13.3.2	Records documenting liaison with external examiners on administrative matters.	Correspondence	Academic Registry	Current academic year + 1 year	Destroy	JISC	

13.4 Assessment Administration

The activities involved in administering assessments.

Activities include: appointing and training examination invigilators; controlling examination materials; timetabling examinations; organising examination facilities (including arrangements for students with disabilities); monitoring attendance at examinations and reporting mitigating circumstances and absences to academic departments; administering the marking of examination scripts; collating examination results; issuing pass lists and individual notifications of examination results; monitoring submission of assessed coursework and reporting problems to academic departments; administering the submission and examination of postgraduate theses.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
13.4.1	Records documenting the selection and appointment of examination invigilators.		Academic Registry/ Faculties CeLL	Current academic year + 1 year	Destroy	JISC	

13.4.2	Records documenting the design and delivery of training for examination invigilators.		Academic Registry/ Faculties CELL	Current academic year + 1 year	Destroy	JISC	
13.4.3	Records documenting the control of examination papers and examination scripts.		Academic Registry	Current academic year + 1 year	Destroy	JISC	
13.4.4	Records documenting the timetabling of examinations.		Academic Registry	Current academic year + 1 year	Destroy	JISC	
13.4.5	Records documenting the organisation of examination facilities, including special arrangements for students with special needs.		Academic Registry for standard venues Student Services for special arrangements	Current academic year + 1 year	Destroy	JISC	
13.4.6	Records documenting individual students' attendance at examinations, and the handling of reports of mitigating circumstances.	Attendance records	Academic Registry	Current academic year + 1 year	Destroy	JISC	
13.4.7	Records documenting the collation of examination results and compilation of pass lists and individual notifications of results.		Faculties/CeLL	Current academic year + 1 year	Destroy	JISC	
13.4.8	Records documenting individual students' submission of assessed work and handling of reports of mitigating circumstances.		Faculties/CeLL	Current academic year + 1 year	Destroy	JISC	

13.4.9	Records documenting the issue of awards lists and individual notifications of awards.	Results letters	Faculties/CeLL	Current academic year + 1 year	Destroy	JISC	
13.4.10	Pass Lists/Awards lists.		Academic Registry/ Faculties CeLL	Issue of list + 10 years	Archive	JISC	Academic Registry holds the archive. This is held in various formats 1950s-1970s – card catalogue (some go back to 1935) -contains comprehensive information; 1970s-1985 - microfiche – information is limited and inconsistent; 1986-1991 - CD-ROM – inconsistent and incomplete; 1991-1998 – CD-ROM; Post 2000 – paper, SAS and Q+

13.5 Examination Board Administration

The activities involved in administering the work of Subject Examination Boards and Award Examination Boards.

Activities include: arranging Board meetings; preparing papers for Board meetings; recording decisions of Board meetings; taking/coordinating action to be carried out as a result of Board decisions.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
13.5.1	Records documenting the arrangements for meetings of a Board.	Arrangement for meetings	Faculties/ CeLL	Current year + 1 year	Destroy	JISC	

13.5.2	Records documenting the conduct of the business of a committee: agenda, minutes and papers.	Committee agendas, minutes and papers Award board decisions and change of decision forms	Faculties/CeLL Academic Registry	Current academic year + 6 years	Archive	1980 c. 58 s 5	See also Governance/ Statutory Committee Administration
13.5.3	Records documenting the conduct of the business of a committee: correspondence and other records relating to the preparation of committee business or to actions to be taken (or not taken) as a result of committee decisions.	Correspondence	Faculties/CeLL	Current academic year + 6 years	Review for archival value	1980 c. 58 s 5	See also Governance/ Statutory Committee Administration

14 Tuition Fees Administration

The function of administering the setting and collection of tuition fees.

14.1 Tuition Fees Policy Development

The activities involved in developing and establishing the institution's policies on the setting and collection of tuition fees.

Activities include: identifying requirements for new / revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
14.1.1	Records documenting the development and establishment of the institution's tuition fees policies: key records.		Finance	Superseded + 10 years	Archive	JISC	
14.1.2	Records documenting the development and establishment of the institution's tuition fees policies: working papers.		Finance	Issue of policy + 1 year	Destroy	JISC	

14.2 Tuition Fees Administration Procedures Development

The activities involved in developing the institution's procedures for the setting and collection of tuition fees.

Activities include: identifying needs for new / revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
14.2.1	Records documenting the development of the institution's procedures relating to tuition fees administration.		Finance	Issue of procedures + 1 year	Destroy	JISC	
14.2.2	Master copies of procedures relating to tuition fees administration.		Finance	Superseded + 10 years	Review for archival value	JISC	

14.3 Tuition Fee Remission

The activities involved in processing applications for remission of tuition fees.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
14.3.1	Records documenting the handling of applications for remission of tuition fees: successful applications.		Finance	Determination of application + 6 years	Destroy	1980 c. 58 s 5	
14.3.2	Records documenting the handling of applications for remission of tuition fees: unsuccessful applications.		Finance	Determination of application + 1 year	Destroy	JISC	

14.4 Tuition Fee Setting

The activities involved in setting tuition fees.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
14.4.1	Records documenting the process of determining tuition fees.		Finance	Current + 5 years	Archive	JISC	

14.5 Tuition Fee Collection

The activities involved in collecting tuition fees.

For processing incoming payments, use FINANCE MANAGEMENT

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
14.5.1	Records documenting the collection of tuition fees.		Finance	Current academic year + 1 year	Destroy	JISC	These are records documenting the collection/receipt of fees only. Financial records documenting the payment of fees, and the processing of the payments, are listed under FINANCE - FUNDING MANAGEMENT

15 Student Financial Support Administration

The function of administering the allocation of financial support funds available to the institution's students. (N1)

N1 This function is intended to cover all financial support funds which are available to students, regardless of whether students must apply for them or whether they are selected to receive them (e.g. bursaries or prizes).

15.1 Student Financial Support Policy Development

The activities involved in developing and establishing the institution's policies on the allocation of financial support funds for students

Activities include: identifying requirements for new / revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
15.1.1	Records documenting the development and establishment of the institution's student financial support policies: key records		Student Services	Superseded + 5 years	Archive	JISC	
15.1.2	Records documenting the development and establishment of the institution's student financial support policies: working papers.		Student Services	Issue of policy + 1 year	Destroy	JISC	

15.2 Student Financial Support Procedures Development

The activities involved in developing the institution's procedures for the allocation of financial support funds for students.

Activities include: identifying needs for new / revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials;

submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
15.2.1	Records documenting the development of the institution's procedures relating to student financial support.		Student Services	Issue of procedures + 1 year	Destroy	JISC	
15.2.2	Master copies of procedures relating to student financial support.		Student Services	Superseded + 5 years	Review for archival value	JISC	

15.3 Financial Aid Funds Administration

The activities involved in administering the allocation of financial aid funds available to the institution's students.

Activities include: providing advice to students about financial aid funds and assisting them to apply for funds; handling applications for financial aid funds.

For processing payments of funds, use FINANCE MANAGEMENT - FINANCIAL ACCOUNTING.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
15.3.1	Records documenting the provision of financial aid funds to individual students.	Loan application forms Outcome of application records	Student Services	Current financial/academic year + 6 years	Destroy	1980 c.58 s.5	

15.4 Crisis/Hardship Funds Administration

The activities involved in administering the allocation of crisis/hardship funds available to the institution's students.

Activities include: providing advice to students about crisis/hardship funds and assisting them to apply for funds; handling applications for financial aid funds.

For processing payments of funds, use FINANCE MANAGEMENT - FINANCIAL ACCOUNTING.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal	Retention	Notes
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					Action	authority	
15.4.1	Records documenting the provision of crisis/hardship payments to individual students.	Application forms Outcome of application records	Student Services	Current financial/academic year + 6 years	Destroy	1980 c.58 s.5	

15.5 Bursaries Administration

The activities involved in administering the award of bursaries available to the institution's students.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
15.5.1	Records documenting the award of bursaries to individual students.	Application forms Outcome of application records	Student Services	Current financial/academic year + 6 years	Destroy	1980 c.58s.5	

15.6 Scholarships and Fellowships Administration

The activities involved in administering the award of scholarships and fellowships available to the institution's students.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
15.6.1	Records documenting the award of scholarships to individual students.	Scholarship packages application forms Outcome of application records	Student Services	Termination of scholarship package + 6 years	Destroy	1980 c.58s.5 Internal Guidance	Scholarship packages usually last for three years
15.6.2	Records documenting the award of fellowships to individual students.		Faculties?	Current financial/academic year + 6 years	Destroy	1980 c.58s.5	

15.7 Prizes Administration

The activities involved in administering the award of prizes available to the institution's students.

Activities include: inviting nominations for prizes; considering nominations received and awarding prizes; notifying the recipients of prizes; presentation of prizes.

For processing payments associated with prizes, use FINANCE MANAGEMENT - FINANCIAL ACCOUNTING.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
15.7.1	Records documenting nominations for prizes, the consideration of nominations and notifications to recipients of prizes.		Faculties	Current academic year + 5 years	Destroy	JISC	
15.7.2	List of prize winners		Faculties	While prize is awarded	Destroy	JISC	

15.8 Student Money Advice Team Operations Management

The activities involved in operating/providing the Student Money Advice Team.

Ref	Description of Records	Record Examples	Ownership	Retention period	Disposal Action	Retention authority	Notes
15.8.1	Records documenting the provision of information, advice and support to students using the Student Money Advice Team	Journals detailing student enquiry, information and advice given, liaison with other agencies to resolve query, record of correspondence.	Student Services	Current academic year + 6 years	Destroy	Internal Guidance	
15.8.2	Email records relating to Student Money activities, i.e. generic and personal inboxes.	Copies of emails e.g. from and to students, staff and third parties.	Student Services	Current academic year + 6 years	Destroy	Internal Guidance	

15.9 Progression Advice Team Operations Management

The activities involved in operating/providing the Progression Advice Team

Ref	Description of Records	Record Examples	Ownership	Retention period	Disposal Action	Retention authority	Notes
15.9.1	Records documenting the provision of information, advice and support to students using the Progression Advice Team	Journals detailing student enquiry, information and advice given, liaison with other agencies to resolve query, record of correspondence.	Student Services	Current academic year + 6 years	Destroy	Internal Guidance	
15.9.2	Email records relating to Progression Advice activities, i.e. generic and personal inboxes	Copies of emails, e.g. from and to students, staff, third parties.	Student Services	Current academic year + 6 years	Destroy	Internal Guidance	
15.9.3	Management Information Reporting	Excel spreadsheets used to produce management information reports.	Student Services	Current academic year + 6 years	Destroy	Internal Guidance	If data is still required, all person identifying data will be removed at the end of the retention period.

CORPORATE MANAGEMENT

16 Corporate Planning and Performance Management

The function of developing and establishing the institution's corporate plans and of monitoring its performance against these plans.

16.1 Corporate Planning & Performance Management Policy Development

The activities involved in developing and establishing the institution's policies on corporate planning and performance management.

Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
16.1.1	Records documenting the development and establishment of the institution's corporate planning and performance management policies: key records.		Executive Office	Superseded + 10 years	Archive	JISC	
16.1.2	Records documenting the development and establishment of the institution's corporate planning and performance management policies: working papers.		Executive Office	Issue of policy + 1 year	Destroy	JISC	

16.2 Corporate Planning & Performance Management Procedures Development

The activities involved in developing the institution's procedures for corporate planning and performance management.

Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
16.2.1	Records documenting the development of the institution's procedures relating to corporate planning and performance management.		Executive Office	Issue of procedures + 1 year	Destroy	JISC	

16.2.2	Master copies of procedures relating to corporate planning and performance management.		Executive Office	Superseded + 5 years	Review for archival value	JISC	
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16.3 Strategic Planning

The activities involved in developing the institution's *strategic plans* (D1).

Activities include: developing plans; reviewing plans.

D1 *Strategic plans* means plans which set the academic aims and objectives of the institution and identify the financial, physical and staff strategies necessary to achieve these aims and objectives.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
16.3.1	Records documenting the development of the institution's strategic plan: key records.	University Strategic plans Departmental Strategic plans	Executive Office	Superseded + 10 years	Archive	JISC	
16.3.2	Records documenting the development of the institution's strategic plan: working papers.		Departments/ Faculties	Publication of strategic plan + 1 year	Destroy	JISC	

16.4 Strategic Performance Management

The activities involved in monitoring the institution's performance against its strategic plans.

Activities include: developing key performance indicators (KPIs); benchmarking against other comparable institutions; monitoring performance against strategic plans and KPIs.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
16.4.1	Records containing data on, and analyses of, the institution's performance against its strategic plan.	Key performance indicators	Executive Office	Current academic year + 5 years	Destroy	JISC	
16.4.2	Records containing reports on the institution's performance against its strategic plan.	Progress reviews Benchmarking	Executive Office	Current academic year + 10 years	Review for archival value	JISC	
16.4.3	Records documenting the conduct and results of audits and reviews of the strategic planning and performance management function, and responses to the results.		Executive Office	Current academic year + 5 years	Review for archival value	JISC	

16.5 Operational Planning

The activities involved in developing the institution's *annual operating plans* (D1).

Activities include: developing plans; reviewing plans.

D1 *Annual operating plans* means plans which identify the aspects of the institution's strategic plan being implemented in the year in question.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
16.5.1	Records documenting the development of the institution's annual operating plans: key records.	Departmental objectives	Departments/ Faculties	Current year + 5 years	Review for archival value	JISC	
16.5.2	Records documenting the development of the institution's annual operating plans: working papers.		Departments/ Faculties	Current year + 1 year	Destroy	JISC	

16.6 Operational Performance Management

The activities involved in monitoring the institution's performance against its annual operating plans.

Activities include: developing key performance indicators (KPIs); benchmarking against other comparable institutions; monitoring performance against strategic plans and KPIs.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
16.6.1	Records documenting the development of the institution's key performance indicators.	Key performance indicators	Departments/ Faculties	Superseded	Destroy	JISC	
16.6.2	Records documenting benchmarking exercises with other comparable institutions.		Departments/ Faculties	Current + 1 year	Destroy	JISC	
16.6.3	Records documenting performance monitoring and analysis.		Departments/ Faculties	Current year + 1 year	Destroy	JISC	

17 Governance

The function of developing and establishing the institution's corporate governance structure and rules, and of conducting its business in accordance with the established governance structure and rules.

17.1 Governance Strategy Development

The activities involved in developing the institution's governance strategy.

Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal	Retention	Notes
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					Action	authority	
17.1.1	Records documenting the development and establishment of the institution's governance strategy: key records.		Directorate	Superseded + 10 years	Archive	JISC	
17.1.2	Records documenting the development and establishment of the institution's governance strategy: working papers.		Directorate	Issue of strategy + 1 year	Destroy	JISC	

17.2 Legal Framework Development

The activities involved in establishing and, where appropriate, changing the legal status of the institution.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
17.2.1	Records documenting the establishment and development of the institution's legal framework.	Instruments and Articles of Government	Clerk to the Governors and Academic Registrar	Life of institution	Archive	JISC	

17.3 Governance Framework Development

The activities involved in developing and establishing the institution's governance structure and rules.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
17.3.1	Records documenting the establishment and development institution's governance structure and rules.		Clerk to the Governors and Academic Registrar	Life of institution	Archive	JISC	

17.4 Statutory Committee Administration

The activities involved in administering the work of the institution's *statutory committees* D1).

Activities include: establishing terms of reference for committees; developing and establishing rules and procedures for the conduct of committee business; appointing, electing or otherwise designating members of committees; providing induction and training for members of committees; arranging committee meetings; preparing agenda and supporting papers for committee meetings; recording minutes of committee meetings; taking/co-ordinating action to be carried out as a result of committee decisions; undertaking periodic formal reviews of the effectiveness and performance of committees (N1); maintaining a register of interests of members of the governing body (N2).

For engaging external assistance to assist in undertaking reviews of the effectiveness of governing bodies, use the relevant categories in PROCUREMENT.
For paying expenses to lay members of governing bodies, use FINANCE MANAGEMENT - FINANCIAL ACCOUNTING.

D1 *Statutory committees* means: the governing body and other bodies which form part of the institution's governance structure as set out in its instruments of government; standing committees of these bodies; joint committees of these bodies.

For most post-1992 institutions in England, Wales and Northern Ireland, the governing body is the Board of Governors and the other constitutional body is the Academic Board.

Committees of the governing body include: audit committee; remuneration committee; nominations committee (N3).

N1 *Guide for Members of Higher Education Governing Bodies in the UK*, Committee of University Chairmen, 2004, Part I, para.15:

'The governing body shall keep its effectiveness under regular review. Not less than every five years it shall undertake a formal and rigorous evaluation of its own effectiveness, and that of its committees, and ensure that a parallel review is undertaken of the senate / academic board and its committees.'

N2 *Guide for Members of Higher Education Governing Bodies in the UK*, Committee of University Chairmen, 2004, Part I, para.6:

'The institution shall maintain ... a register of interests of members of the governing body.'

N3 *Guide for Members of Higher Education Governing Bodies in the UK*, Committee of University Chairmen, 2004, Part II, para.2.42:

'...there are three committees which should play a central role in supporting the proper conduct of the governing body's business: an audit committee, a remuneration committee and a nominations committee.'

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
17.4.1	Records documenting the development and establishment of the terms of reference, and the rules and procedures, for a statutory committee.	Code of conduct University Calendar	Clerk to the Governors and Academic Registrar for Board of Governors Academic Registry	Life of institution While current	Archive Archive	JISC Internal Guidance	
17.4.2	Records documenting the appointment/election/designation of members of a statutory committee.		Clerk to the Governors and Academic Registrar /Academic Registry	Termination of appointment + 6 years	Review for archival value	1980 c.5s.5	
17.4.3	Records documenting the development of induction and training programmes for members of a statutory committee.		Clerk to the Governors and Academic Registrar /Academic Registry	Superseded + 5 years	Destroy	JISC	Retaining previous versions provides evidence of effective induction and training over time.
17.4.4	Records documenting training undertaken by individual members of a statutory committee.			Termination of appointment + 6 years	Destroy	1980c.58s.5	
17.4.5	Records documenting the arrangements for meetings of a statutory committee.		Academic Registry	Current year + 1 year	Destroy	JISC	
17.4.6	Records documenting the conduct of the business of a statutory committee: agenda, minutes and supporting papers: Final approved version	Board of Governors Agendas, minutes and papers Academic Board	Academic Registry Committee	Current year Current year	Archive Archive	Internal Guidance Internal	

		and its main Sub-Committees Agendas, minutes and papers	Secretary			Guidance	
17.4.7	Records documenting the conduct of the business of a statutory committee: agenda, minutes and supporting papers: Reference copies	Board of Governors Agendas, minutes and papers Academic Board and its main Sub-Committees Agendas, minutes and papers	Clerk to the Governors and Academic Registrar Committee Secretary	Current year + 10 years Current year + 5 years	Destroy Destroy	Internal Guidance Internal Guidance	Master copies will be held in the archive.
17.4.8	Records documenting the conduct of the business of a statutory committee: agenda, minutes and supporting papers: Other Reference copies held by Departments/Faculties	Board of Governors Agendas, minutes and papers Academic Board and its main Sub-Committees Agendas, minutes and papers	Faculties/ Departments	Current year + 1 year or when no longer needed for personal reference Current year + 1 year or when no longer needed for personal reference	Destroy Destroy	Internal Guidance Internal Guidance	Master copies will be held in the archive.
17.4.9	Records documenting the conduct of the business of a statutory committee: correspondence and other records relating to the preparation of committee		Committee Secretary	Current year + 5 years	Destroy	JISC	

	business or to actions to be taken (or not taken) as a result of committee decisions.						
17.4.10	Records documenting the conduct of reviews of the effectiveness and performance of a statutory committee.		Academic Registry	Completion of two subsequent reviews	Archive	JISC	Retaining records of previous reviews provides evidence of effective monitoring over time, as well as compliance with regulatory requirements/recommendations to undertake reviews.
17.4.11	Register of interests of members of the institution's governing body.		Clerk to the Governors and Academic Registrar	Termination of appointment + 6 years	Archive	1980 c. 58 s 5	

17.5 Non-Statutory Committee Administration

The activities involved in administering the work of the institution's *non-statutory committees* (D1).

Activities include: establishing terms of reference for committees; developing and establishing rules and procedures for the conduct of committee business; appointing, electing or otherwise designating members of committees; providing induction and training for members of committees; arranging committee meetings; preparing agenda and supporting papers for committee meetings; recording minutes of committee meetings; taking/co-ordinating action to be carried out as a result of committee decisions; dissolving committees which are no longer required.

For committees which do not have an institution-wide remit, use [FUNCTION] - COMMITTEE ADMINISTRATION (use COMMON ACTIVITIES - COMMITTEE ADMINISTRATION as a starting point).

D1 *Non-statutory committees* means committees which have an institution-wide remit, other than the institution's statutory committees.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
17.5.1	Records documenting the development and establishment of the terms of reference, and the rules and procedures, for a committee.	University Calendar	Academic Registry	Life of committee + 6 years While current	Archive Archive	1980 c. 58 s 5 Internal Guidance	
17.5.2	Records documenting the		Academic Registry	Termination of	Destroy	1980 c. 58 s	

	appointment/election/designation of members of a committee.			membership + 6 years		5	
17.5.3	Records documenting the development of induction and training programmes for members of a committee.		Faculties/ Departments	Superseded + 3 years	Destroy	JISC	Retaining previous versions provides evidence of effective induction and training over time.
17.5.4	Records documenting training undertaken by individual members of a committee.			Termination of membership + 6 years	Destroy	1980 c. 58 ss 2 and 5	
17.5.5	Records documenting the arrangements for meetings of a committee.		Academic Registry	Current year + 1 year	Destroy	JISC	
17.5.6	Records documenting the conduct of the business of a committee: agenda, minutes and supporting papers.	Agendas, minutes and papers	Committee Secretary	Life of committee + 5 years	Review for archival value	JISC	
17.5.7	Records documenting the conduct of the business of a committee: correspondence and other records relating to the preparation of committee business or to actions to be taken (or not taken) as a result of committee decisions.		Committee Secretary	Current year + 5 years	Destroy	JISC	

17.6 Senior Officers' Appointments Administration

The activities involved in appointing, electing or otherwise designating the institution's *senior officers* (D1).

Activities include: setting terms and conditions for officers.

Use this category for appointing, electing or otherwise designating staff to senior academic roles such as Deans of Faculties.
For appointing all other staff, use HUMAN RESOURCES MANAGEMENT - WORKFORCE RECRUITMENT.

D1 *Senior Officers* means roles which form part of the governance structure of the institution.

For post-1992 institutions, senior officers include: Chancellor; Chair of the Governing Body; Head of the Institution; Deputy (or Deputies) to the Head of the Institution; Secretary (or Clerk) to the Governing Body

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
17.6.1	Records documenting the appointment/election/designation of the institution's senior officers		Directorate	Termination of appointment + 6 years	Destroy	1980 c. 58 s 5	

17.7 Public Interest Disclosure (Whistleblowing) Investigation

The activities involved in handling allegations made by staff relating to the running of the institution or the activities of colleagues within the institution.

Activities include: recording allegations; investigating and reporting on allegations, and determining any consequential action to be taken.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
17.7.1	Records documenting the investigation, determination and resolution of an allegation made by a member of staff under the Public Interest Disclosure Act 1998.			Closure of case + 6 years	Destroy	1980 c. 58 ss 2 and 5	

17.8 Official External Representation

The activities involved in representing the institution officially on external bodies.

Activities include: appointing or otherwise designating staff to represent the institution.

Use this category for appointing or otherwise designating staff to represent the institution on governing bodies, committees etc. of external organisations where a representative from the institution is required by the organisation's constitution or by the institution's governing body.

For designating staff to represent the institution's interests on committees, working parties etc. of function-specific external organisations, use [FUNCTION - ACTIVITY] and add a sub-category. For example: 1) for representing the institution on QAA working parties on teaching standards, use TEACHING - TEACHING QUALITY & STANDARDS - EXTERNAL REPRESENTATION 2) for representing the institution representation on working parties of the International Council on Archives, use ARCHIVES MANAGEMENT - EXTERNAL REPRESENTATION.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
17.8.1	Records documenting the appointment/designation of staff to officially represent the institution.			Termination of representation	Destroy	JISC	

18 Risk Management

The activities involved in managing identified risks to the viability or success of the institution.

18.1 Risk Management Strategy Development

The activities involved in developing and establishing the institution's risk management strategy

Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
18.1.1	Records documenting the development and establishment of the institution's risk management strategy: key records.			Superseded + 5 years	Archive	JISC	
18.1.2	Records documenting the development and			Issue of strategy + 1 year	Destroy	JISC	

	establishment of the institution's risk management strategy: working papers.						
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18.2 Risk Management Policy Development

The activities involved in developing and establishing the institution's policies on risk management.

Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
18.2.1	Records documenting the development and establishment of the institution's risk management policies: key records.			Superseded + 5 years	Archive	JISC	
18.2.2	Records documenting the development and establishment of the institution's risk management policies: working papers.			Issue of policy + 1 year	Destroy	JISC	

18.3 Risk Management Procedures Development

The activities involved in developing the institution's procedures for risk management.

Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
18.3.1	Records documenting the development of the institution's procedures relating to risk management.			Issue of procedures + 1 year	Destroy	JISC	
18.3.2	Master copies of procedures relating to risk management.			Superseded + 3 years	Review for archival value	JISC	

18.4 Risk Identification & Assessment

The activities involved in identifying and evaluating risks to the institution.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
18.4.1	Records documenting identified risks to the institution and assessments of those risks.			Superseded + 1 year		JISC	

18.5 Business Continuity Planning

The activities involved in anticipating incidents which would disrupt the institution's operations, and in developing response and recovery plans.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
18.5.1	Records documenting the formulation, testing and maintenance of disaster response and recovery plans.	Contingency plans Disaster recovery plans Business continuity plans	Faculties/ Departments	Superseded + 1 year	Destroy	JISC	

19 Quality Management

The function of managing overall quality in the institution.

For managing teaching quality and standards, use TEACHING - TEACHING QUALITY & STANDARDS MANAGEMENT.
For managing research quality and standards, use RESEARCH - RESEARCH QUALITY & STANDARDS MANAGEMENT.

19.1 Quality Strategy Development

The activities involved in developing and establishing the institution's quality strategy.

Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
19.1.1	Records documenting the development and establishment of the institution's quality management strategy: key records.			Superseded + 5 years	Archive	JISC	
19.1.2	Records documenting the development and establishment of the institution's quality management strategy: working papers.			Issue of strategy + 1 year	Destroy	JISC	

19.2 Quality Management Policy Development

The activities involved in developing and establishing the institution's policies on quality management.

Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal	Retention	Notes
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					Action	authority	
19.2.1	Records documenting the development and establishment of the institution's quality management policies: key records.			Superseded + 5 years	Archive	JISC	
19.2.2	Records documenting the development and establishment of the institution's quality management policies: working papers.			Issue of policy + 1 year	Destroy	JISC	

19.3 Quality Management Procedures Development

The activities involved in developing the institution's procedures for quality management.

Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
19.3.1	Records documenting the development of the institution's procedures relating to quality management.			Issue of procedures + 1 year	Destroy	JISC	
19.3.2	Master copies of procedures relating to quality management.			Superseded + 3 years	Archive	JISC	

19.4 Quality Audit

The activities involved in undertaking quality audits.

Activities include: planning audits; conducting audit investigations; writing and delivering audit reports; reviewing and responding to audit reports, including drawing up action plans to address issues raised.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
19.4.1	Records documenting the conduct and results of quality audits, and action taken to address issues raised.		Faculties/ Departments	Completion of audit + 3 years	Destroy	JISC	

19.5 Quality Management Scheme Accreditation Management

The activities involved in managing the process of obtaining and maintaining accreditation under established external quality management schemes (e.g. EQUIS).

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

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
19.5.1	Records documenting the attainment and maintenance of the institution's accreditation under established independent quality management schemes.		Faculties/ Departments	Termination of accreditation + 1 year	Destroy	JISC	

20 Audit

The function of conducting audits of the institution's affairs and operations. (N1)

For conducting health and safety audits, use HEALTH & SAFETY MANAGEMENT – HEALTH & SAFETY AUDIT.

For conducting environmental audits, use ENVIRONMENTAL MANAGEMENT – ENVIRONMENTAL AUDIT.

For engaging external auditors, use the relevant category in PROCUREMENT.

N1 This function is intended to cover both internal and external audits of the institution, focusing on providing assurance of the adequacy and effectiveness of the institution's risk management, control and governance, and arrangements for promoting economy, efficiency and effectiveness. It is NOT intended to cover routine audits relating to a specific function or activity which is covered elsewhere in this Business Classification Scheme (e.g. Health and Safety Audit).

20.1 Audit Strategy Development

The activities involved in developing and establishing the institution's audit strategy.

Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
20.1.1	Records documenting the development and establishment of the institution's audit strategy: key records.			Superseded + 5 years	Archive	JISC	
20.1.2	Records documenting the development and establishment of the institution's audit strategy: working papers.			Issue of strategy + 1 year	Destroy	JISC	

20.2 Audit Policy Development

The activities involved in developing and establishing the institution's policies for the conduct of audits.

Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
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20.2.1	Records documenting the development and establishment of the institution's audit policies: key records.			Superseded + 5 years	Archive	JISC	
20.2.2	Records documenting the development and establishment of the institution's audit policies: working papers.			Issue of policy + 1 year	Destroy	JISC	

20.3 Audit Procedures Development

The activities involved in developing the institution's procedures for conducting audits.

Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
20.3.1	Records documenting the development of the institution's procedures relating to audit management.			Issue of procedures + 1 year	Destroy	JISC	
20.3.2	Master copies of procedures relating to audit management.			Superseded + 3 years	Review for archival value	JISC	

20.4 Audit Management

The activities involved in conducting audits.

Activities include: conducting internal audits; facilitating the conduct of external audits; reviewing and responding to audit reports.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
20.4.1	Records documenting the conduct and results of audits, and action taken to address issues raised.		Finance	Completion of audit + 5 years	Destroy	JISC	

21 Legal Affairs Management

The function of managing the institution's legal affairs. (N1)

For establishing and managing contracts with external organisations for legal services, use the relevant category in PROCUREMENT.

N1 This function is intended to cover the management of the institution's legal affairs and the provision of legal expertise to the institution by both internal and external legal advisers.

21.1 Legal Affairs Management Policy Development

The activities involved in developing and establishing the institution's policies for the management of its legal affairs.

Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
21.1.1	Records documenting the development and establishment of the institution's policies on the management of legal affairs: key records.			Superseded + 5 years	Archive	JISC	

21.1.2	Records documenting the development and establishment of the institution's policies on the management of legal affairs: working papers.			Issue of policy + 1 year	Destroy	JISC	
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21.2 Legal Affairs Management Procedures Development

The activities involved in developing the institution's procedures for the management of its legal affairs.

Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
21.2.1	Records documenting the development of the institution's procedures relating to the management of legal affairs.			Issue of procedures + 1 year	Destroy	JIS	
21.2.2	Master copies of procedures relating to the management of legal affairs.			Superseded + 5 years	Review for archival value	JISC	

21.3 Contracts & Agreements Management

The activities involved in managing the processes associated with negotiating, establishing, maintaining and reviewing contracts and agreements.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
21.3.1	Records documenting the negotiation, establishment and review of contracts and agreements between the		Directorate	Termination of contract + 12 years	Review for archival value	1980 c.58 s 8	

	institution and third parties : agreements and contracts under seal (by deed).						
21.3.2	Records documenting the negotiation, establishment and review of contracts and agreements between the institution and third parties : other contracts and agreements.	Contracts Agreements	Directorate/ Departments/ Faculties	Termination of contract + 6 years	Review for archival value	1980 c.58 s 5	

21.4 Legal Claims

The activities involved in handling claims by or against the institution which do not proceed to litigation or settlement by an agreement.

For claims which proceed to litigation, use LEGAL AFFAIRS - LITIGATION.

For claims which proceed to settlement by an agreement, use LEGAL AFFAIRS - CONTRACTS & AGREEMENTS.

For claims against the institution's insurance policies, use the relevant section of INSURANCE MANAGEMENT.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
21.4.1	Records documenting the provision of legal support and representation for the institution in dealing with claims by or against the institution which do not proceed to litigation or settlement by an agreement		Directorate	Settlement of claim + 6 years OR Withdrawal of claim + 6 years	Destroy	1980 c.58 ss 2 and 5	

21.5 Litigation Management

The activities involved in managing legal actions by or against the institution.

Activities include: briefing counsel; providing documents required by a court; consulting with other agencies.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal	Retention	Notes
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					Action	authority	
21.5.1	Records documenting litigation between the institution and third parties where legal precedents are set.		Directorate	Life of institution	Archive	JISC	
21.5.2	Records documenting litigation between the institution and third parties which does not set legal precedents.		Directorate	Settlement of case + 6 years	Destroy	1980 c.58 ss 2 and 5	

21.6 Legal Advice

The activities associated with providing legal opinions and advice to the institution.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
21.6.1	Records documenting legal advice requested by, and provided to, the institution concerning: - interpretation of legislation affecting the institution's legal framework, governance, responsibilities or operations - proposals for new legislation affecting the institution's legal framework, governance, responsibilities or operations - the institution's relationships with government bodies and HE regulators - industrial relations issues		Directorate	Life of institution	Archive	JISC	

	- health, safety and environmental issues						
21.6.2	Records documenting legal advice on other matters requested by, and provided to, the institution.		Directorate	Superseded + 5 years	Destroy	JISC	

22 Organisational Development

The function of developing the institution's organisational structure and culture.

22.1 Organisational Strategy Development

The activities involved in developing and establishing the institution's organisational development strategy.

Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
22.1.1	Records documenting the development and establishment of the institution's organisational strategy: key records.		Directorate	Superseded + 5 years	Archive	JISC	
22.1.2	Records documenting the development and establishment of the institution's organisational strategy: working papers.		Directorate	Issue of strategy + 1 year	Destroy	JISC	

22.2 Organisational Development Policy Development

The activities involved in developing and establishing the institution's policies on organisational development.

Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
22.2.1	Records documenting the development and establishment of the institution's organisational development policies: key records.		Directorate	Superseded + 5 years	Archive	JISC	
22.2.2	Records documenting the development and establishment of the institution's organisational development policies: working papers.		Directorate	Issue of policy + 1 year	Destroy	JISC	

22.3 Organisational Development Procedures Development

The activities involved in developing the institution's organisational development procedures.

Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
22.3.1	Records documenting the development of the institution's procedures relating to organisational development.		Directorate	Issue of procedures + 1 year	Destroy	JISC	
22.3.2	Master copies of procedures relating to organisational development.		Directorate	Superseded + 3 years	Review for archival value	JISC	

22.4 Organisational Restructuring

The activities involved in changing the institution's organisational structure.

Activities include: creating new *business units* (D1); merging/demerging or otherwise restructuring existing business units; closing business units.

D1 *Business units* are individual components of the institution's organisational structure which, depending on its level in the structure and on its purpose, may be called any of the following: Directorate; Division; Department; Section; Team; College; Faculty; Faculty, Unit, Centre, Institute.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
22.4.1	Records documenting the management of individual organisational restructuring processes.	Organisational charts	Departments/ Faculties	Completion of process + 5 years	Archive	JISC	

23 Equality and Diversity Management

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

23.1 Equality & Diversity Strategy Development

The activities involved in developing and establishing the institution's equality and diversity strategy.

Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft

strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
23.1.1	Records documenting the development and establishment of the institution's equality and diversity strategy: key records.		HR	Superseded + 5 years	Archive	JISC	
23.1.2	Records documenting the development and establishment of the institution's equality and diversity strategy: working papers.		HR	Issue of strategy + 1 year	Destroy	JISC	

23.2 Equality & Diversity Policy Development

The activities involved in developing and establishing the institution's policies on equality and diversity.

Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Activities include: preparing a race equality policy (N1).

N1 *Guide for Members of Higher Education Governing Bodies in the UK*, Committee of University Chairmen, 2004, Part III, para. 10.8: 'All HEIs must publish a race equality policy ...'

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
23.2.1	Records documenting the development and establishment of the institution's policies on equality and diversity: key records.		HR	Superseded + 5 years	Archive	JISC	
23.2.2	Records documenting the development and establishment of the institution's policies on equality and diversity: working papers.		HR	Issue of policy + 1 year	Destroy	JISC	

23.3 Equality & Diversity Procedures Development

The activities involved in developing the institution's procedures for managing equality and diversity.

Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
23.3.1	Records documenting the development of the institution's procedures relating to the management of equality and diversity.		HR	Issue of procedures + 1 year	Destroy	JISC	
23.3.2	Master copies of procedures relating to the management of equality and diversity.		HR	Superseded + 3 years	Review for archival value	JISC	

23.4 Equality & Diversity Monitoring

The activities involved in monitoring equal opportunities within the institution.

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

For preparing and submitting formal reports of equal opportunities monitoring to external organisations, use the relevant Function for the organisation concerned, i.e. GOVERNMENT RELATIONS MANAGEMENT - GOVERNMENT REPORTING or HE/FE SECTOR RELATIONS MANAGEMENT - HE/FE SECTOR REPORTING.

For publishing monitoring information, use PUBLISHING - PUBLICATION PRODUCTION.

See also DISABILITY EQUALITY COMPLIANCE, GENDER EQUALITY COMPLIANCE AND RACE EQUALITY COMPLIANCE.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
23.4.1	Records containing summary statistical information resulting from equality monitoring.		HR	Current year + 5 years	Destroy	JISC	

23.5 Equality & Diversity Training

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

Activities include: identifying training requirements; analysing training needs; identifying and evaluating training options.

For external training, activities include: identifying and evaluating training programmes; organising attendance at training events; evaluating training programmes/events.

For internal training, activities include: developing training programmes; organising and arranging training events; delivering training; evaluating training programmes/events.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
23.5.1	Records documenting the development and delivery of training on equality and diversity issues and procedures.	Development and delivery of course material, training programmes	HR	Issue of course +1 year	Destroy	Internal Guidance	
		Final version of course material	HR	End of training course + 1 year	Destroy	Internal Guidance	

23.6 Discrimination Complaints Handling

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

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

For defending legal actions against the institution, use LEGAL AFFAIRS - LITIGATION.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
23.6.1	Records documenting the handling of formal complaints about discrimination by or within the institution.		HR	Last action on case + 6 years	Destroy	1980 c. 58 s 2	

23.7 Women's Mentoring Scheme Co-ordination

The activities involved in co-ordinating the institution's participation in the Women's Mentoring Scheme.

Activities include: handling applications for the Scheme; matching mentors with mentees; monitoring the mentor-mentee relationship and progress.

For liaising with the National Mentoring Consortium, use the relevant section of HE / FE SECTOR RELATIONS MANAGEMENT.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
23.7.1	Records documenting the handling of individual applications for the Scheme and monitoring of the mentor-mentee relationship and outcomes.		HR	Completion of the Scheme + 1 year	Destroy	JISC	

23.8 Disability Equality Compliance

The activities involved in complying with *legislation on disability equality* (D1).

Activities include: preparing and publishing the institution's Disability Equality Scheme (N1), including publishing a revised Scheme every three years; preparing and publishing the institution's annual reports on the implementation of its Disability Equality Scheme (N2); assessing the impact of the institution's policies on equality for disabled people.

Use this section only for activities which are carried out or co-ordinated centrally (e.g. in an Equality & Diversity Unit). Other disability equality activities should be dealt with in the appropriate section for the function/activity they relate to.

For publishing the Disability Equality Scheme and the annual reports, use PUBLISHING - PUBLICATION PRODUCTION.

D1 *Legislation on disability equality* means legislation against discrimination, harassment or victimisation on the grounds of disability.

In the UK, key legislation is: Disability Discrimination Act 1995 (1995 c. 50); Disability Discrimination Act 2005 (2005 c. 13).

In England and Wales, key legislation is: Disability Discrimination (Public Authorities)(Statutory Duties) Regulations 2005 (SI 2005/2966).

N1 England and Wales Duty imposed by Regulation 2 of Disability Discrimination (Public Authorities)(Statutory Duties) Regulations 2005 (SI 2005/2966)

N2 England and Wales Duty imposed by Regulation 4 of Disability Discrimination (Public Authorities)(Statutory Duties) Regulations 2005 (SI 2005/2966)

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
23.8.1	Records documenting the preparation/revision of the institution's Disability Equality Scheme.	Disability Equality Scheme	HR	Superseded + 5 years	Archive	JISC	SI 2005/2966 does not prescribe a retention period for these records. SSI 2005/565 does not prescribe a retention period for these records. Retaining previous versions

							provides evidence of compliance and effective management of equality over time.
23.8.2	Records documenting the preparation of annual reports on the implementation of the institution's Disability Equality Scheme.		HR	Current year + 5 years	Archive	JISC	SI 2005/2966 does not prescribe a retention period for these records. SSI 2005/565 does not prescribe a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of equality over time.
23.8.3	Records documenting assessments of the impact of the institution's policies and practices on equality for disabled persons.		HR	Superseded + 5 years	Destroy	JISC	Retaining previous versions provides evidence of compliance and effective management of equality over time.

23.9 Race Equality Compliance

The activities involved in complying with *legislation on race equality* (D1).

Activities include: preparing and publishing the institution's race equality policy (N1); assessing the impact of the institution's policies on students and staff from different racial groups, and publishing the results (N2); monitoring, by racial group, student admission and progress, and employee recruitment and career progress, and publishing the results (N3).

Use this section only for activities which are carried out or co-ordinated centrally (e.g. in an Equality & Diversity Unit). Other race equality activities should be dealt with in the appropriate section for the function/activity they relate to.

For publishing the race equality policy and the results of monitoring, use PUBLISHING - PUBLICATION PRODUCTION.

D1 *Legislation on race equality* means legislation against discrimination, harassment or victimisation on the grounds of race. In the UK, key legislation is: Race Relations Act 1976 (1976 c. 74); Race Relations (Amendment) Act 2000 (2000 c. 34); Race Relations Act 1976 (Statutory Duties) Order 2001 (SI 2001/3458).

N1 Duty imposed by Article 3(1) of Race Relations Act 1976 (Statutory Duties) Order 2001 (SI 2001/3458)
 N2 Duty imposed by Article 3(4)(a) of Race Relations Act 1976 (Statutory Duties) Order 2001 (SI 2001/3458)
 N3 Duty imposed by Article 3(4)(b) of Race Relations Act 1976 (Statutory Duties) Order 2001 (SI 2001/3458)

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
23.9.1	Records documenting the preparation of the institution's race equality policy.	Race Equality Policy	HR	Superseded + 5 years	Archive	JISC	SI 2001/3458 does not prescribe a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of equality over time.
23.9.2	Records documenting assessments of the impact of the institution's policies on equality between different racial groups.		HR	Superseded + 5 years	Destroy	JISC	SI 2001/3458 does not prescribe a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of equality over time.
23.9.3	Records documenting the monitoring, by racial group, of student admission and progress.			Current year + 5 years	Review for archival value	JISC	SI 2001/3458 does not prescribe a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of equality over time.
23.9.4	Records documenting the monitoring, by racial group, of employee recruitment and career progress.			Current year + 5 years	Destroy	JISC	SI 2001/3458 does not prescribe a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of equality over time.

23.10 Gender Equality Compliance

The activities involved in complying with *legislation on gender equality* (D1).

Activities include: preparing and publishing the institution's Gender Equality Scheme (N1), including publishing a revised scheme every three years (N2); preparing and publishing the institution's annual reports on the implementation of its Gender Equality Scheme (N3); assessing the impact of the institution's policies on equality between men and women.

Use this section only for activities which are carried out or co-ordinated centrally (e.g. in an Equality & Diversity Unit). Other gender equality activities should be dealt with in the appropriate section for the function/activity they relate to.

For publishing the Gender Equality Scheme and the annual reports, use PUBLISHING - PUBLICATION PRODUCTION.

D1 *Legislation on gender equality* means legislation against discrimination, harassment or victimisation on the grounds of gender.

In the UK, key legislation is: Sex Discrimination Act 1975 (1975 c. 65); Employment Equality (Sex Discrimination) Regulations 2005 (SI 2005/2467); Sex Discrimination Act 1975 (Public Authorities)(Statutory Duties) Order 2006 (SI 2006/2930).

N1 Duty imposed by Article 2 of Sex Discrimination Act 1975 (Public Authorities)(Statutory Duties) Order 2006 (SI 2006/2930)

N2 Duty imposed by Article 4 of Sex Discrimination Act 1975 (Public Authorities)(Statutory Duties) Order 2006 (SI 2006/2930)

N3 Duty imposed by Article 6 of Sex Discrimination Act 1975 (Public Authorities)(Statutory Duties) Order 2006 (SI 2006/2930)

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
23.10.1	Records documenting the preparation/revision of the institution's Gender Equality Scheme.		HR	Current year + 5 years	Archive	JISC	SI 2006/2930 does not prescribe a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of equality over time.

23.10.2	Records documenting the preparation of annual reports on the implementation of the institution's Gender Equality Scheme.		HR	Current year + 5 years	Archive	JISC	SI 2006/2930 does not prescribe a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of equality over time.
23.10.3	Records documenting assessments of the impact of the institution's policies and practices on equality for men and women.		HR	Superseded + 5 years	Destroy	JISC	SI 2006/2930 does not prescribe a retention period for these records Retaining previous versions provides evidence of compliance and effective management of equality over time.

24 Health and Safety Management

The function of managing the impact of the institution's operations on the health and safety of its staff, students and other people while on its premises and in other places where they may be affected by its operations, and of ensuring compliance with legislation on health and safety matters.

24.1 Health & Safety Strategy Development

The activities involved in developing and establishing the institution's health and safety strategy.

Activities include: identifying requirements for new / revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
24.1.1	Records documenting the development and establishment of the institution's health and safety strategy: key records.		OH+S Departments /Faculties for Departmental Committee records	Superseded + 10 years	Archive	JISC	See 16.4 for records of Board of Governors and Academic Board
24.1.2	Records documenting the development and establishment of the institution's health and safety strategy: working papers.		OH+S	Issue of strategy + 1 year	Destroy	JISC	

24.2 Health & Safety Management Planning

The activities involved in formulating plans to implement the institution's health and safety management strategy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
24.2.1	Records documenting the formulation of plans for the implementation of the institution's health and safety strategy.	Departmental Annual plans University Annual reports and plans	OH+S	Superseded + 50 years	Archive	1974 c.37	

24.3 Health & Safety Management Policy Development

The activities involved in developing and establishing the institution's policies on health and safety.

Activities include: identifying requirements for new / revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
24.3.1	Records documenting the development and establishment of the institution's policies on health and safety: key records.	Health and Safety Policies	OH+S Departments/ Faculties for Departmental policies	Superseded + 50 years	Archive	JISC	The Health and Safety at Work etc. Act 1974 (c.37), s 2(3) requires every employer to have '... a written statement of his general policy with respect to the health and safety at work of his employees and the organisation and arrangements for ... carrying out that policy ...'. These records also meet the requirement to document the institution's health and safety arrangements for the planning, organisation, control, monitoring and review of preventive and protective measures, as set out by Regulation 5(2) of the Management of Health and Safety at Work Regulations 1999 (SI 1999/3242). Retaining previous versions provides evidence of compliance and effective management of health and safety over time.
24.3.2	Records documenting the development and establishment of the institution's policies on health and safety: working papers.		OH+S Departments/ Faculties	Issue of policy + 1 year	Destroy	JISC	

24.4 Health & Safety Management Procedures Development

The activities involved in developing the institution's procedures for the management of health and safety.

Activities include: identifying needs for new / revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
24.4.1	Records documenting the development of the institution's procedures relating to the management of health and safety.		OH+S	Issue of procedures + 1 year	Destroy	JISC	
24.4.2	Master copies of procedures relating to the management of health and safety.	Codes of practice	OH+S Departments/ Faculties for Departmental procedures	Superseded + 50 years	Review for archival value	JISC	These records meet the requirement to document the institution's health and safety arrangements for the planning, organisation, control, monitoring and review of preventive and protective measures, as set out by Regulation 5(2) of the Management of Health and Safety at Work Regulations 1999 (SI 1999/3242). Retaining previous versions provides evidence of compliance and effective management of health and safety over time.

24.5 Health & Safety Inspection

The activities involved in conducting health and safety inspections of the institution's premises and operations.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
24.5.1	Records documenting the conduct and results of health and safety inspections of the institution's land, buildings, facilities or operations, and action taken to address issues raised.	Inspection reports Departmental safety reports	OH+S Departments/ Faculties	Current year + 5 years OR Superseded + 1 year	Destroy	1974 c.37	Retaining previous versions provides evidence of compliance and effective management of health and safety over time.

24.6Health & Safety Audit

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

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

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
24.6.1	Records documenting the conduct and results of health and safety audits.	Audits	OH+S	Completion of audit + 5 years	Review for archival value	JISC	Retaining previous versions provides evidence of compliance and effective management of health and safety over time.

24.7Health & Safety Consultation

The activities involved in consulting the institution's workforce, either directly or through representatives, on the management of health and safety matters within the institution.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
24.7.1	Records documenting notifications of appointments of safety representatives by trade unions under Regulation 3 of the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500).		OH+S	Termination of appointment + 1 year	Destroy	JISC	SI 1977/500 does not prescribe a retention period for these records. SI 1996/1513 does not prescribe a retention period for these records.
24.7.2	Records documenting the provision of time off, and other facilities and assistance, for safety representatives appointed under the Safety Representatives and Safety Committees Regulations 1977 SI 1977/500).		OH+S	Current year + 5 years	Destroy	JISC	SI 1977/500 does not prescribe a retention period for these records. SI 1996/1513 does not prescribe a retention period for these records.
24.7.3	Records documenting consultations and other communications with safety representatives appointed under the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500).		OH+S	Current year + 50 years	Destroy	JISC	SI 1977/500 does not prescribe a retention period for these records. SI 1996/1513 does not prescribe a retention period for these records.
24.7.4	Records documenting the establishment of a safety committee to fulfil the institution's duty under s 2(7) of the Health and Safety at		OH+S	Dissolution of committee + 50 years	Destroy	JISC	SI 1977/500 does not prescribe a retention period for these records. SI 1996/1513 does not prescribe a retention period for these records.

	Work etc. Act 1974 (c. 37) and in accordance with Regulation 9 of the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500). Includes records documenting the objectives, role, functions, composition and administration of the committee.						
24.7.5	Records documenting the election of members of a safety committee formed under the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500).		OH+S	Completion of election + 1 year	Destroy	JISC	SI 1977/500 does not prescribe a retention period for these records. SI 1996/1513 does not prescribe a retention period for these records.
24.7.6	Records documenting the proceedings and decisions of a safety committee formed under the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500).		OH+S	Current year + 50 years	Destroy	JISC	SI 1977/500 does not prescribe a retention period for these records. SI 1996/1513 does not prescribe a retention period for these records.
24.7.7	Records documenting the election of representatives of employee safety under the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513).		OH+S	Completion of election + 1 year	Destroy	JISC	SI 1977/500 does not prescribe a retention period for these records. SI 1996/1513 does not prescribe a retention period for these records.
24.7.8	Records documenting		OH+S	Current year + 50	Destroy	JISC	SI 1977/500 does not prescribe a

	consultations and other communications with representatives of employee safety elected under the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513), or with all employees directly.			years			retention period for these records. SI 1996/1513 does not prescribe a retention period for these records.
24.7.9	Records documenting the provision of training (specifically related to their functions as representatives) for representatives of employee safety elected under the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513).		OH+S	Current year + 5 years	Destroy	JISC	SI 1977/500 does not prescribe a retention period for these records. SI 1996/1513 does not prescribe a retention period for these records.
24.7.10	Records documenting the provision of time off, and other facilities and assistance, for representatives of employee safety appointed under the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513).		OH+S	Current year + 5 years	Destroy	JISC	SI 1977/500 does not prescribe a retention period for these records. SI 1996/1513 does not prescribe a retention period for these records.

24.8 Health & Safety Information, Instruction & Training Provision

The activities involved in providing information, instruction and training on health and safety matters to staff, students and other people who use the institution's facilities.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
24.8.1	Records documenting the provision of health and safety information, instruction and training for employees, students and others, except where specified elsewhere in this Records Retention Schedule.	Induction training Health and Safety training (including delegates information and training material)	HR Departments/ Faculties	Current year + 5 years or Superseded + 5 years	Destroy	JISC	The following regulations require information, instruction and training to be provided but do not prescribe retention periods for records relating to this activity: SI 1989/635; SI 1989/682; SI 1992/2792; SI 1992/2793; SI 1996/341; SI 1998/2306; SI 1999/3242.

24.9 Health & Safety Hazard Identification & Risk Assessment

The activities involved in identifying health and safety hazards in the institution's premises or caused by its operations, conducting risk assessments to establish the likelihood and consequences of those risks and implementing appropriate measures to eliminate the risks or to mitigate their consequences.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
24.9.1	Records documenting the conduct, review and revision of risk assessments made to fulfil the institution's duties under Regulation 3 of the Management of Health and Safety at Work Regulations 1999 (SI 1999/3242) and except where specified elsewhere in this Records Retention Schedule.	Risk Assessment forms Safety tour forms	Departments/ Faculties	Superseded + 5 years	Destroy	JISC	SI 1999/3242 Regulation 3 does not prescribe a retention period. As a minimum, risk assessments should be retained until they are superseded. Retaining previous versions provides evidence of compliance and effective management of health and safety over time.

24.10 Health & Safety Hazard Exposure Control - Display Screen Equipment

The activities involved in controlling the exposure of staff to risks associated with use of display screen equipment.

Activities include fulfilling the institution's duties under the Health & Safety (Display Screen) Equipment Regulations 1992 by: assessing the risks to health and safety created by using workstations (Regulation 2); providing training (Regulation 6) and information (Regulation 7) for employees using workstations.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
24.10.1	Records documenting the conduct, review and revision of assessments of risks to health and safety created by using workstations, to fulfil the institution's duties under Regulation 2 of the Health & Safety (Display Screen) Equipment Regulations 1992 (SI 1992/2792). 1989.	Computer workstation assessments	OH+S	Superseded + 10 years	Destroy	JISC	SI 1992/2792 does not prescribe a retention period for these records. As a minimum, risk assessments should be retained until they are superseded. Retaining previous versions provides evidence of compliance and effective management of health and safety over time.
24.10.2	Records documenting the provision of training and information for employees using workstations, to fulfil the institution's duties under Regulations 6 and 7 of the Health & Safety (Display Screen) Equipment Regulations 1992 (SI 1992/2792).		Departments/ Faculties	Superseded + 5 years		JISC	SI 1992/2792 does not prescribe a retention period for these records.

24.11 Health & Safety Hazard Exposure Control - Noise

The activities involved in controlling the exposure of staff, students and others to noise in the institution's premises or in other places affected by its operations.

Activities include fulfilling the institution's duties under the Control of Noise at Work Regulations 2005 by: assessing the risks to health and safety created by exposure to noise (Regulation 5); providing (Regulation 7) and maintaining (Regulation 8) personal protective equipment to control exposure to noise; conducting health surveillance of employees who are exposed to noise (Regulation 9); providing information, instruction and training for employees exposed to noise (Regulation 10).

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
24.11.1	Records documenting the conduct, review and revision of assessments of the risks to health and safety created by exposure to noise, made to fulfil the institution's duties under Regulation 5 of the Control of Noise at Work Regulations 2005 (SI 2005/1643).		Departments/ Faculties	Superseded + 10 years	Destroy	JISC	SI 2005/1643 does not prescribe a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of health and safety over time.
24.11.2	Records documenting the provision of personal protective equipment to employees, to fulfil the institution's duties under Regulation 7 of the Control of Noise at Work Regulations 2005 (SI 2005/1643).		Departments/ Faculties	Return of issued equipment + 1 year		Common audit requirement	A record of the issue of personal protective equipment should be included in an employee's staff record. See HUMAN RESOURCES MANAGEMENT - EMPLOYEE CONTRACT MANAGEMENT

24.11.3	Records documenting the maintenance of equipment provided to control exposure to noise, to fulfil the institution's duties under Regulation 8 of the Control of Noise at Work Regulations 2005 (SI 2005/1643).		Departments/ Faculties	Date of examination/test/repair + 5 years		JISC	SI 2005/1643 does not prescribe a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of health and safety over time.
24.11.4	Records documenting health surveillance of employees who are exposed to noise, carried out to fulfil the institution's duties under Regulation 9 of the Control of Noise at Work Regulations 2005 (SI 2005/1643).		OH+S	Date of last entry in record + 40 years		JISC	SI 2005/1643 does not specify a retention period for these records.
24.11.5	Records documenting the provision of information, instruction and training for employees who are exposed to noise, to fulfil the institution's duties under Regulation 10 of the Control of Noise at Work Regulations 2005 (SI 2005/1643).		Departments/ Faculties	Superseded + 10 years		JISC	SI 2005/1643 does not prescribe a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of health and safety over time.

24.12 Health & Safety Hazard Exposure Control - Hazardous Substances

The activities involved in controlling the exposure of staff, students and other people to hazardous substances on the institution's premises or in other places affected by its operations.

Activities include fulfilling the institution's duties under the Control of Substances Hazardous to Health Regulations 2002 by: keeping a list of employees exposed to Group 3 or Group 4 biological agents, and records of exposures, accidents and incidents involving these agents (Schedule 3, paragraph 4); assessing the risks to health created by exposure to substances hazardous to health (Regulation 6); providing (Regulation 7) and maintaining (Regulation 9)

equipment to control exposure to substances hazardous to health; monitoring employees' general and individual exposure to substances hazardous to health (Regulation 10); conducting health surveillance of employees exposed to substances hazardous to health (Regulation 11); providing information, instruction and training for employees who are exposed to substances hazardous to health (regulation 12); developing plans and information to deal with accidents, incidents and emergencies related to the presence of substances hazardous to health and responding to emergencies which occur (Regulation 13).

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
24.12.1	List of employees exposed to Group 3 or Group 4 biological agents, and records of exposures, accidents and incidents involving these agents, required by Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677), Schedule 3, para. 4.		Departments/ Faculties	Current + 40 years	Destroy	SI 2002/2677 Regulation 7(10) and Schedule 3, para 4(3)	
24.12.2	Records documenting the conduct, review and revision of assessments of the risks to health created by work with substances hazardous to health, to fulfil the institution's duties under Regulation 6 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).	COSHH Risk Assessments	Departments/ Faculties	Superseded + 10 years	Destroy	JISC	SI 2002/2677 does not prescribe a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of health and safety over time. A longer retention period may be appropriate if there have been potentially dangerous exposures.
24.12.3	Records documenting the maintenance of equipment provided to control exposure to substances hazardous to health, to fulfil the institution's		Departments/ Faculties	Date of examination/test/repair + 5 years	Destroy	SI 2002/2677 Regulation 9(4)	

	duties under Regulation 9 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).						
24.12.4	Records documenting the conduct and results of monitoring the personal exposures of individual employees to substances hazardous to health, to fulfil the institution's duties under Regulation 10 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).	Occupational Health files (includes any risk assessments, occupational health consultation notes, GP notes)	OH+S	Last entry + 40 years	Destroy	S.I. 2002/2677 Regulation 10(5)(a)	
24.12.5	Records documenting the conduct and results of monitoring employees' general exposure to substances hazardous to health, as required by Regulation 10 of the Control of Substances Hazardous to Health Regulations 2002.		OH+S	Last entry + 5 years	Destroy	S.I. 2002/2677 Regulation 10(5)(b)	

24.12.6	Records documenting health surveillance of individual employees who are exposed to substances hazardous to health, to fulfil the institution's duties under Regulation 11 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).	Occupational Health files (includes any risk assessments, occupational health consultation notes, GP notes)	OH+S	Date of last entry in record + 40 years	Destroy	SI 2002/2677 Regulation 11(3)	
24.12.7	Records documenting the provision of information, instruction and training for employees who are exposed to substances hazardous to health, to fulfil the institution's duties under Regulation 12 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).		Departments/ Faculties	Superseded + 10 years	Destroy	JISC	SI 2002/2677 does not prescribe a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of health and safety over time. A longer retention period may be appropriate if there have been potentially dangerous exposures.
24.12.8	Records documenting the development of plans and information to deal with accidents, incidents and emergencies related to the presence of substances hazardous to health, to fulfil the institution's duties under Regulation 13 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).		OH+S	Superseded + 10 years	Destroy	JISC	SI 2002/2677 does not prescribe a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of health and safety over time.
24.12.9	Records documenting the		OH+S	Last action on event +	Destroy	JISC	SI 2002/2677 does not prescribe

	institution's response to accidents, incidents and emergencies involving substances hazardous to health, to fulfil the institution's duties under Regulation 13 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).			10 years			a retention period for these records. Retaining records for a long period provides evidence of effective management of emergency situations. A longer retention period may be appropriate if there have been potentially dangerous exposures.
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24.13 Health & Safety Hazard Exposure Control - Asbestos

The activities involved in controlling the exposure of staff, students and others to asbestos in the institution's premises or in other places affected by its operations.

Activities include fulfilling the institution's duties under the Control of Asbestos Regulations 2006 by: assessing the presence and condition of asbestos (Regulation 5); assessing the risks to health created by exposure to asbestos (Regulation 6); producing written plans of work for undertaking work with asbestos (Regulation 7); notifying enforcing authorities of proposed work with asbestos (Regulation 9); providing information, instruction and training for employees who are exposed to asbestos (Regulation 10); maintenance of equipment provided to control exposure to asbestos (Regulation 13); developing plans and information to deal with accidents, incidents and emergencies related to the presence of asbestos, and responding to emergencies which occur (Regulation 15); monitoring employees' general and individual exposure to asbestos (Regulation 19); conducting medical surveillance of employees exposed to asbestos (Regulation 22).

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
24.13.1	Records documenting assessments of the presence and condition of asbestos, as required by Regulation 5 of the Control of Asbestos Regulations 2006 (SI 2006/2739).	Asbestos Risk Assessments	Estates and Facilities	Completion of work to which the assessment relates + 10 years	Destroy	JISC	SI 2006/2739 does not prescribe a retention period for these records. Retaining assessments provides evidence of effective management of risks over time.
24.13.2	Records documenting the		Estates and	Superseded + 10	Destroy	JISC	SI 2006/2739 does not specify a

	conduct, review and revision of assessments of the risks to health created by exposure to asbestos, to fulfil the institution's duties under Regulation 6 of the Control of Asbestos Regulations 2006 (SI 2006/2739).		Facilities	years			retention period for these records. Retaining previous versions provides evidence of compliance and effective management of health and safety over time. A longer retention period may be appropriate if there have been potentially dangerous exposures.
24.13.3	Records documenting the preparation of written plans of work for undertaking work with asbestos, as required by Regulation 7 of the Control of Asbestos Regulations 2006 (SI 2006/2739).		Estates and Facilities	Completion of work to which plan relates	Destroy	SI 2006/2739 Regulation 7(2)	
24.13.4	Records documenting notifications to enforcing authorities of proposed work with asbestos, to fulfil the institution's duties under Regulation 9 of the Control of Asbestos Regulations 2006 (SI 2006/2739).		Estates and Facilities	Duration of work + 10 years	Destroy	JISC	SI 2006/2739 Regulation 9 does not prescribe a retention period for these records. Retaining assessments provides evidence of effective management of risks associated with works carried out.
24.13.5	Records documenting the provision of information, instruction and training for employees who are exposed to asbestos, to fulfil the institution's duties under Regulation 10 of the Control		Estates and Facilities	Superseded + 10 years	Destroy	JISC	SI 2006/2739 Regulation 10 does not prescribe a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of health and

	of Asbestos Regulations 2006 (SI 2006/2739).						safety over time. A longer retention period may be appropriate if there have been potentially dangerous exposures.
24.13.6	Records documenting the maintenance of equipment provided to control exposure to asbestos, to fulfil the institution's duties under Regulation 13 of the Control of Asbestos Regulations 2006 (SI 2006/2739).		Estates and Facilities	Date of examination/test/repair + 5 years	Destroy	SI 2006/2739 Regulation 13(3)	
24.13.7	Records documenting the development of plans and information to deal with accidents, incidents and emergencies related to the presence of asbestos, to fulfil the institution's duties under Regulation 15 of the Control of Asbestos Regulations 2006 (SI 2006/2739).		Estates and Facilities	Superseded + 10 years	Destroy	JISC	SI 2006/2739 Regulation 15 does not prescribe a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of health and safety over time.
24.13.8	Records documenting the institution's response to accidents, incidents and emergencies involving asbestos, to fulfil its duties under Regulation 15 of the Control of Asbestos Regulations 2006 (SI 2006/2739).		OH+S	Last action on event + 10 years		JISC	SI 2006/2739 Regulation 15 does not prescribe a retention period for these records. Retaining records for a long period provides evidence of effective management of emergency situations. A longer retention period may be appropriate if there have been potentially dangerous exposures.

24.13.9	Records documenting the conduct and results of monitoring the personal exposures of individual employees (who are required to be under medical surveillance) to asbestos, to fulfil the institution's duties under Regulation 19 of the Control of Asbestos Regulations 2006 (SI 2006/2739).	Occupational Health files (includes any risk assessments, occupational health consultation notes, GP notes)	OH+S	Date of monitoring + 40 years	Destroy	SI 2006/2739 Regulation 19(4)(a)	
24.13.10	Records documenting the conduct and results of monitoring employees' general exposure to asbestos, to fulfil the institution's duties under Regulation 19 of the Control of Asbestos Regulations 2006 (SI 2006/2739).		OH+S	Date of monitoring + 40 years	Destroy	SI 2006/2739 Regulation 19(4)(b) Internal Guidance	
24.13.11	Records documenting medical surveillance of individual employees who are exposed to asbestos, to fulfil the institution's duties under Regulation 22 of the Control of Asbestos Regulations 2006 (SI 2006/2739).	Occupational Health files (includes any risk assessments, occupational health consultation notes, GP notes)	OH+S	Date of last entry on record + 40 years	Destroy	SI 2006/2739 Regulation 22(1)(b)	
24.13.12	Employer's copies of certificates of medical examinations of identifiable employees who are exposed to asbestos, as required by	Occupational Health files (includes any risk assessments, occupational health consultation notes, GP	OH+S	Date of certificate + 4 years	Destroy	SI 2006/2739 Regulation 22(4)	In practice, these are likely to be retained as part of the health records required by Regulation 22.

	Regulation 22 of the Control of Asbestos Regulations 2006.	notes)					
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24.14 Health & Safety Incident Recording, Reporting & Investigation

The activities involved in recording and investigating accidents, dangerous occurrences and outbreaks of disease on the institution's premises, and in reporting reportable incidents to the enforcing authorities.

Activities include fulfilling the institution's duties under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 by recording the details of injuries, dangerous occurrences and outbreaks of notifiable diseases (Regulation 7).

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
24.14.1	Records of injuries, dangerous occurrences and outbreaks of notifiable diseases on the institution's premises, to fulfil the institution's duties under Regulation 7 of the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 (SI 1995/3163).	Accident report forms Incident report forms Accident statistics	OH+S Departments/ Faculties	Date of recording + 3 years or if under 18, until a child reaches the age of 25	Destroy	SI 1995/3163 Regulation 7(3) SI 1993/2113 Regulation 2	The contents of records to be kept are specified in Schedule 4 of SI 1995/3163.
24.14.2	Records documenting the investigation of accidents, dangerous occurrences and outbreaks of notifiable diseases on the institution's premises.		OH+S	Closure of investigation + 40 years	Destroy	1980 c. 58 s 11	
24.14.3	Records documenting the notification and reporting (to the relevant enforcing authorities) of reportable accidents, dangerous		OH+S	Date of notification + 3 years	Destroy	In line with SI 1995/3163 Regulation 7(3)	

	occurrences and outbreaks of notifiable diseases to enforcing authorities.						
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24.15 Employee (Occupational) Health Surveillance

The activities involved in monitoring the health of employees who are exposed to specific health risks in the course of their work with / in the institution.

Specific health risks means exposure to radiation, asbestos, lead or other substances hazardous to health, as defined in the Control of Substances Hazardous to Health Regulations 2002.

<i>Ref</i>	<i>Record Groups</i>	<i>Record Series</i>	<i>Ownership</i>	<i>Retention period</i>	<i>Disposal Action</i>	<i>Retention authority</i>	<i>Notes</i>
24.15.1	Records documenting pre-employment health screening of an employee.	Pre-employment medical questionnaires	OH+S	Termination of employment + 40 years	Destroy	1980 c.58	
24.15.2	Health (surveillance) records of identifiable individual employees, other than those specified under Health and Safety Hazard Exposure Control.	Occupational Health files (includes any risk assessments, occupational health consultation notes, GP notes)	OH+S	Date of last surveillance action + 40 years	Destroy	1980 c.58 S.I. 1999/3242	

24.16 Health & Safety Incident Management

The activities involved in planning for the handling of health and safety incidents on the institution's premises which require the involvement of specially-trained staff and / or the public emergency services.

Activities include: conducting safety risk assessments; assessing requirements for the nomination/appointment of specially-trained staff to assist in implementing safety measures; nominating staff to be trained to assist in implementing safety measures, and providing training; assessing requirements for fire detection, fire-fighting and other emergency response equipment; maintaining such equipment for the use of specially-trained staff or fire-fighters; making arrangements with external emergency services for the provision of first-aid, emergency medical assistance, fire-fighting and rescue services; conducting evacuation drills to test procedures for evacuating premises in the event of an emergency.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
24.16.1	Records documenting the conduct, review and revision of fire safety risk assessments to fulfil the institution's duties under Article 9 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541)	Fire safety risk assessments	Estates and Facilities Departments/ Faculties	Superseded + 5 years	Destroy	JISC	SI 2005/1541 does not prescribe a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of health and safety over time.
24.16.2	Records documenting fire safety arrangements made to fulfil the institution's duties under Article 11 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).		Estates and Facilities/ OH+S	Superseded + 5 years	Destroy	JISC	SI 2005/1541 does not prescribe a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of health and safety over time.
24.16.3	Records documenting the nomination of 'competent persons' to implement fire-fighting measures to fulfil the institution's duties under Article 13 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	List of fire wardens	OH+S	Termination of status as 'competent person'	Destroy	JISC	SI 2005/1541 does not prescribe a retention period for these records. Retention of these records must comply with the provisions of the Data Protection Act 1998 (c. 29). 'Competent persons' in this context are often referred to as 'fire wardens' or similar.
24.16.4	Records documenting the provision of role-specific training for 'competent persons' to implement fire-fighting measures in the institution's premises to fulfil the institution's duties under	Details of staff trained	OH+S	Current year + 5 years OR Superseded + 5 years	Destroy	JISC	SI 2005/1541 does not prescribe a retention period for these records. Retaining information about previous training provides evidence of compliance and effective management of health

	Article 13 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).						and safety over time.
24.16.5	Records documenting the conduct, review and revision of assessments of requirements for fire-fighting equipment and for fire detectors and alarms to fulfil the institution's duties under Article 13 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).		Estates and Facilities	Review of assessment + 5 years	Destroy	S.I. 1981/917	SI 2005/1541 does not prescribe a retention period for these records. Retaining information about previous assessments provides evidence of compliance and effective management of health and safety over time.
24.16.6	Records documenting the maintenance of premises, facilities and equipment to fulfil the institution's duties under Article 17 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).		Estates and Facilities	Current year + 5 years	Destroy	JISC	SI 2005/1541 does not prescribe a retention period for these records. Retaining maintenance history provides evidence of compliance and effective management of health and safety over time. Also see: ESTATE MANAGEMENT - PREMISES MAINTENANCE; FACILITIES MANAGEMENT - FACILITIES MAINTENANCE; EQUIPMENT & CONSUMABLES MANAGEMENT - EQUIPMENT MAINTENANCE.
24.16.7	Records documenting the appointment of 'competent persons' to assist in implementing fire safety measures to fulfil the	List of fire wardens	OH+S	Termination of status as 'competent person'	Destroy	JISC	SI 2005/1541 does not prescribe a retention period for these records. 'Competent persons' in this context are often referred to as

	institution's duties under Article 18 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).						'fire wardens' or similar.
24.16.8	Records documenting the conduct and review of safety drills to fulfil the institution's duties under Article 15 of the Regulatory Reform (Fire safety) Order 2005 (SI 2005/1541).	Fire drill reports	OH+S	Current year + 5 years OR Superseded + 5 years	Destroy	JISC	SI 2005/1541 does not prescribe a retention period for these records. Retaining information about previous drills etc. provides evidence of compliance and effective management of health and safety over time.
24.16.9	Records documenting arrangements with external emergency services for the provision of first-aid, emergency medical care, fire-fighting and rescue services (including the provision of information on the institution's emergency procedures and arrangements) to fulfil the institution's duties under Article 16 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	Emergency procedures Reports and statistics	OH+S	Current year + 5 years OR Superseded + 5 years	Destroy	JISC	SI 2005/1541 does not prescribe a retention period for these records. Retaining information about previous arrangements provides evidence of compliance and effective management of health and safety over time.
24.16.10	Records documenting the maintenance of premises, facilities and equipment provided for the use by, or the protection of, fire-fighters to fulfil the institution's duties		Estates and Facilities	Current year + 5 years	Destroy	JISC	SI 2005/1541 does not prescribe a retention period for these records. Retaining maintenance history provides evidence of compliance and effective management of

	under Article 38 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).						health and safety over time. Also see: ESTATE MANAGEMENT - PREMISES MAINTENANCE; FACILITIES MANAGEMENT - FACILITIES MAINTENANCE; EQUIPMENT & CONSUMABLES MANAGEMENT - EQUIPMENT MAINTENANCE.
24.16.11	Records documenting the provision of fire safety training to employees to fulfil the institution's duties under Article 21 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).		Departments Faculties/ OH+S	Current year + 5 years OR Superseded + 5 years	Destroy	JISC	SI 2005/1541 does not prescribe a retention period for these records. Retaining information about previous training provides evidence of compliance and effective management of health and safety over time.
24.16.12	Records documenting the appointment of first aiders.	List of first aiders	OH+S	Termination of appointment	Destroy	JISC	
24.16.13	Records documenting the provision of approved training for first aiders to fulfil the institution's duties under Regulation 3 of the Health and Safety (First Aid) Regulations 1981 (SI 1981/917).	Details of staff trained	OH+S	Current year + 3 years OR Superseded + 3 years	Destroy	JISC	SI 1981/917 does not prescribe a retention period for these records. Retaining information about previous training provides evidence of compliance and effective management of health and safety over time.

24.16.14	Records documenting the provision of information about first aid arrangements to employees, to fulfil the institution's duties under Regulation 4 of the Health and Safety (First Aid) Regulations 1981 (SI 1981/917).	First aid notices	Departments/ Faculties/ OH+S	Superseded + 3 years	Destroy	JISC	SI 1981/917 does not prescribe a retention period for these records. Retaining previous information provides evidence of compliance and effective management of health and safety over time.
24.16.15	Records documenting the conduct, review and revision of assessments of requirements for first aid facilities, equipment and trained personnel to fulfil the institution's duties under Regulation 3 of the Health and Safety (First Aid) Regulations 1981 (SI 1981/917).		Departments/ Faculties	Superseded + 3 years	Destroy	JISC	SI 1981/917 does not prescribe a retention period for these records. Retaining information about previous arrangements provides evidence of compliance and effective management of health and safety over time.

25 Environmental Management

The function of managing the impact of the institution and its business on the environment, and of ensuring compliance with legislation on environmental matters.

25.1 Environmental Strategy Development

The activities involved in developing and establishing the institution's environmental strategy.

Activities include: identifying requirements for new / revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
25.1.1	Records documenting the development and establishment of the institution's environmental management strategy: key records.		Estates and Facilities	Superseded + 10 years	Archive	JISC	
25.1.2	Records documenting the development and establishment of the institution's environmental management strategy: working papers.		Estates and Facilities	Issue of strategy + 1 year	Destroy	JISC	

25.2 Environmental Management Policy Development

The activities involved in developing and establishing the institution's policies on environmental matters.

Activities include: identifying requirements for new / revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
25.2.1	Records documenting the development and establishment of the institution's environmental management policies: key records.		Estates and Facilities	Superseded + 10 years	Archive	JISC	

25.2.2	Records documenting the development and establishment of the institution's environmental management policies: working papers.		Estates and Facilities	Issue of policy + 1 year	Destroy	JISC	
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25.3 Environmental Management Procedures Development

The activities involved in developing the institution's procedures for the management of environmental matters.

Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
25.3.1	Records documenting the development of the institution's procedures relating to environmental management.		Estates and Facilities	Issue of procedures + 1 year	Destroy	JISC	
25.3.2	Master copies of procedures relating to environmental management.		Estates and Facilities	Superseded + 10 years	Review for archival value	JISC	

25.4 Environmental Audit

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

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

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
25.4.1	Records documenting the conduct and results of environmental audits, and action taken to address issues raised.		Estates and Facilities	Completion of audit + 5 years	Destroy	JISC	

25.5 Environmental Hazard Identification & Risk Assessment

The activities involved in identifying environmental risks affecting the institution's premises or operations, conducting risk assessments to establish the likelihood and consequences of those risks and implementing appropriate measures to eliminate the risks or to mitigate their consequences.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
25.5.1	Records documenting identified environmental hazards to the institution, or created by its operations, and the conduct and results of risk assessments.		Estates and Facilities	Elimination of risk + 5 years OR Updating of risk assessment + 5 years	Destroy	JISC	

25.6 Environmental Management Scheme Accreditation Management

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

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

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
25.6.1	Records documenting the attainment and maintenance of the institution's accreditation under established environmental management schemes.		Estates and Facilities	Termination of accreditation + 1 year	Review for archival value	JISC	

25.7 Environmental Awareness Promotion

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

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

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
25.7.1	Records documenting action taken by the institution to raise awareness of environmental issues among its employees, other staff and students.		Estates and Facilities	Current + 5 years	Review for archival value	JISC	

25.8 Environmental Incident Recording, Reporting & Investigation

The activities involved in recording and investigating environmental incidents on the institution's premises or caused by its operations, and in reporting reportable incidents to the enforcing authorities.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
25.8.1	Records documenting the recording of environmental incidents on the institution's premises or caused by its operations.		Estates and Facilities	Last action on incident + 40 years	Destroy	JISC	
25.8.2	Records documenting the investigation of environmental incidents on the institution's premises or caused by its operations.		Estates and Facilities	Closure of investigation + 40 years	Destroy	JISC	

25.8.3	Records documenting the notification and reporting of reportable environmental incidents to enforcing authorities.		Estates and Facilities	Date of notification + 5 years	Destroy	JISC	
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25.9 Energy Management

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

Activities include: conducting energy audits.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
25.9.1	Records documenting routine monitoring of the institution's use and consumption of energy.		Estates and Facilities	Current year + 5 years	Destroy	JISC	
25.9.2	Records documenting the conduct and results of formal reviews of the institution's use and consumption of energy, and action taken to address issues raised.		Estates and Facilities	Completion of review + 5 years	Destroy	JISC	

25.10 Waste Management

The activities involved in collecting, classifying, storing, and *disposing* (D1) of the institution's *waste* (D2).

Activities include: conducting waste audits.

For establishing and managing contracts with commercial waste disposal companies, use the relevant category in PROCUREMENT.

D1 *Disposing* means destruction by recycling or incineration or dumping into landfill.

D2 *Waste* means: 'household waste', 'industrial waste' and 'commercial waste' as defined in the Controlled Waste Regulations 1992; 'special waste' as defined in the Special Waste Regulations 1996. For practical purposes, these categories include: office waste; catering waste; redundant equipment and consumables; redundant records; clinical waste; other hazardous waste.

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

Waste means: 'household waste', 'industrial waste' and 'commercial waste' as defined in the Controlled Waste Regulations 1992; 'special waste' as defined in the Special Waste Regulations 1996.

For practical purposes, these categories include: office waste; catering waste; redundant equipment and consumables; redundant records; clinical waste; other hazardous waste.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
25.10.1	Register of 'special waste' removed from the premises for disposal by registered/licensed contractors, as required by Regulation 15 of the Special Waste Regulations 1996 (SI 1996/972).		Estates and Facilities	Removal of waste consignment + 3 years	Destroy	SI 1996/972 Regulation 15(4)	SI 2005/894 repealed SI 1996/972 but SI 2005/894 Regulation 51(4) requires registers made under SI 1996/972 Regulation 15(4) to be retained for the period specified here.
25.10.2	Records documenting hazardous waste to be disposed of, as required by Regulation 49 of the Hazardous Waste (England and Wales) Regulations 2005 (SI 2005/894).		Estates and Facilities	Removal of waste + 3 years	Destroy	SI 2005/894 Regulation 49(3)	SI 2005/894 Regulation 49(1) specifies the content of these records.

26 Project Management

The function of managing projects within the University.

The activities involved in developing and managing projects should wherever possible be included under the relevant function as projects are a supporting activity for most functions.

26.1 Project Management Policy Development

Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
26.1.1	Records documenting the development and establishment of the institution's project management policies: key records.			Superseded + 5 years	Archive	Internal Guidance	
26.1.2	Records documenting the development and establishment of the institution's project management policies: working papers.			Issue of policy + 1 year	Destroy	Internal Guidance	

26.2 Project Management Procedures Development

The activities involved in developing the institution's procedures for project management.

Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
26.2.1	Records documenting the development of the institution's procedures relating to project management.			Issue of procedures + 1 year	Destroy	Internal Guidance	
26.2.2	Master copies of procedures relating to project management.			Superseded + 3 years	Review for archival value	Internal Guidance	

26.3 Project Development

The activities involved in developing projects.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
26.3.1	Records documenting the design of projects and the preparation of formal project proposals which lead to projects.	Project proposal and plans Application form Internal approval forms Approval letters from funding body Correspondence Contract with terms and conditions Public match funding certificates	Euro/Project Manager	Completion of project + 6 years if externally funded unless a longer period is required by funding body. Payment of final programme balance by the European Commission + 3 years to Regional Authority for projects funded by ERDF, ESF & Framework Programmes.	Review for archival value See notes	1980 c. 58 Article 90 EC Regulation 1083/2006 & EC Article 19 of Regulation 1828/2006	It is a requirement of the European Commission for all externally funded programmes/projects to keep a clear audit trail of all project activity, including all publicity documents, procurement documentation, expenditure and participant data. Original copies of this information is to be retained until we have had official confirmation from WEFO that it is acceptable to destroy this documentation. The Project Sponsor (the University) must retain all original documents (or in versions certified to be in conformity with the originals on the commonly accepted data carriers listed in paragraph 4 of Article 19 of Regulation 1828/2006) relating to the implementations of the Project and it's financing for 3 years after the European Commission has made the final payment for the

							Structural Funds to WEFO. But since it is unclear when WEFO will receive final payment from the European Commission the Project Sponsor must retain all documents until WEFO informs the Project Sponsor in writing that it is safe to destroy them.
26.3.2	Records documenting the design of projects and the preparation of formal project proposals which do not lead to projects.	Project proposal and plans Application form Correspondence from funding bodies		Last action + 5 years	Destroy	Internal Guidance	

26.4 Project Management

The activities involved in managing projects.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
26.4.1	Records documenting the management of externally-funded projects		Departments /Project Manager	Completion of project + 6 years if externally funded unless a longer period is required by funding body.	Review for archival value	1980 c.58	
26.4.2	Records documenting the management of projects funded by the European Structural Funds	Quarterly claim files – timesheets, salary costs, invoices, payments, receipts, expenses claims, Staffing details - contract, job descriptions, Beneficiary file – beneficiary forms and enrolment forms Project progress and	Euro / Project Manager	Payment of final programme balance by the European Commission + 3 years to Regional Authority for projects funded by ERDF, ESF & Framework Programmes.	See Notes	Article 90 EC Regulation 1083/2006 & EC Article 19 of Regulation 1828/2006	It is a requirement of the European Commission for all externally funded programmes/projects to keep a clear audit trail of all project activity, including all publicity documents, procurement documentation, expenditure and participant data. Original copies of this information is to be retained until we have had official confirmation from WEFO that it is

		monitoring – reports, minutes, Project implementation files Project publicity activities – events, exhibitions					<p>acceptable to destroy this documentation.</p> <p>At present some records are held centrally, e.g. staffing records by HR, Financial records by Finance, some records are held by Euro, and other records are held by the project manager.</p> <p>The Project Sponsor (the University) must retain all original documents (or in versions certified to be in conformity with the originals on the commonly accepted data carriers listed in paragraph 4 of Article 19 of Regulation 1828/2006) relating to the implementations of the Project and it's financing for 3 years after the European Commission has made the final payment for the Structural Funds to WEFO. But since it is unclear when WEFO will receive final payment from the European Commission the Project Sponsor must retain all documents until WEFO informs the Project Sponsor in writing that it is safe to destroy them.</p>
26.4.3	Records documenting the management of internally-funded projects			Completion of project + 3 years	Review for archival value	Internal Guidance	

CORPORATE RESOURCES MANAGEMENT

27 Estates Management

The function of managing the institution's *estate* (D1).

D1 *Estate* means land and buildings (or other fixed structures) on land.

27.1 Estate Strategy

The activities involved in developing and establishing the institution's estate strategy.

Activities include: identifying requirements for new / revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
Ref	Records documenting the development and establishment of the institution's estate management policies: key records.		Estates and Facilities	Superseded + 10 years	Archive	JISC	
27.1.1							

27.2 Estate Management Policy Development

The activities involved in developing and establishing the institution's policies on the management of its estate.

Activities include: identifying requirements for new / revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

27.2.2	Records documenting the development and establishment of the institution's estate management policies: working papers.		Estates and Facilities	Issue of policy + 1 year	Destroy	JISC	
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27.3 Estate Management Procedures Development

The activities involved in developing and establishing the institution's procedures for the management of its estate.

Activities include: identifying needs for new / revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
27.3.1	Records documenting the development of the institution's procedures relating to estate management.		Estates and Facilities	Issue of procedures + 1 year	Destroy	JISC	
27.3.2	Master copies of procedures relating to estate management.		Estates and Facilities	Superseded + 10 years	Review for archival value	JISC	

27.4 Property Acquisition

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

For drawing up legal agreements and other documents associated with the acquisition of property, use LEGAL AFFAIRS - CONTRACTS & AGREEMENTS.

For managing legal proceedings arising from the acquisition of property (e.g. compulsory purchase), use LEGAL AFFAIRS – LITIGATION.

For processing financial transactions associated with the acquisition of properties, use FINANCE MANAGEMENT – FINANCIAL ACCOUNTING.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
27.4.1	Records documenting the acquisition of ownership of properties.	Deeds	Directorate	Disposal of property + 12 years	Destroy	1980 c. 58 s 8	This retention period assumes that property contracts are executed as deeds. For other types of contracts, the retention period may be 6 years rather than 12 years.
27.4.2	Deeds of title for properties owned by the institution.		Directorate	Disposal of property	Destroy	JISC	Deeds of title for a property are transferred to the new owner when the property is sold.
27.4.3	Records documenting negotiations for properties where the property was not acquired.			Closure of negotiations + 6 years	Destroy	1980 c. 58 s 2	
27.4.4	Records documenting the negotiation of leases and original lease agreements.			Expiry of lease + 15 years	Destroy	1980 c. 58 s 14	

27.5 Property Development

The activities involved in *developing* (D1) newly-acquired land and buildings and in redeveloping existing land and buildings.

Activities include: undertaking feasibility studies; conducting consultations; developing specifications; preparing building plans; obtaining planning consents; obtaining permits for specific types of work; undertaking development works; inspecting completed works and arranging external inspections to obtain necessary certifications.

For establishing and managing contracts with external organisations for the provision of professional or technical services, use the relevant categories in PROCUREMENT.

For installing and commissioning equipment, use EQUIPMENT & CONSUMABLES MANAGEMENT – EQUIPMENT INSTALLATION/COMMISSIONING.

D1 *Developing* land and buildings includes: changing the use of land and buildings; constructing new buildings or other structures; undertaking conservation or restoration work on land and buildings; extending, altering and reconfiguring land or buildings.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
27.5.1	Records documenting the development of properties.		Estates and Facilities	Disposal of property	Review for archival value	JISC	Some of these records may be transferred to the new owner when property is sold.
27.5.2	Health and Safety File for a structure, as required by Regulation 14(d) of the Construction (Design and Management) Regulations 1994 (SI 1994/3140)		Estates and Facilities	Demolition of property OR Disposal of interest in property	Destroy	SI 1994/3140 Regulation 12	SI 1994/3140 does not prescribe a retention period for these records but Regulation 12 implies that the Health and Safety File for a structure should be retained for the life of the structure by the person responsible for the property. Regulation 12(2) requires that a Health and Safety File is transferred to the new owner when ownership transfers.
27.5.3	Records documenting applications for planning consents required to (re)develop property and consents granted.		Estates and Facilities	Disposal of property or expiry of consent.	Destroy	JISC	Planning consents which are valid when a property is sold are transferred to the new owner.

27.6 Property Maintenance

The activities involved in maintaining land and buildings.

Activities include: conducting general inspections; establishing and implementing planned maintenance programmes; carrying out reactive maintenance; conducting inspections to determine the presence and condition of hazardous materials (e.g. asbestos); carrying out decontamination works.

For establishing and managing contracts with external organisations for the provision of professional or technical services, use the relevant categories in PROCUREMENT.

For regular health and safety inspections, including routine inspections of hazardous substances (e.g. asbestos), use HEALTH & SAFETY MANAGEMENT – HEALTH & SAFETY INSPECTIONS.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal	Retention	Notes
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					Action	authority	
27.6.1	Records documenting routine inspections of property.		Estates and Facilities	Date of inspection + 5 years	Destroy	JISC	Retaining inspection records provides evidence of effective property management.
27.6.2	Records documenting major maintenance works on property.		Estates and Facilities	Disposal of property	Review for archival value	JISC	Some of these records may be transferred to new owners when land is sold.
27.6.3	Records documenting minor maintenance works on property.		Estates and Facilities	Completion of works + 15 years	Destroy	1980 c. 58 s 14B	
27.6.4	Records documenting assessments made to determine the presence (or likely presence) of asbestos in premises, as required by Regulation 4(3) of the Control of Asbestos Regulations 2006 (SI 2006/2739).		Estates and Facilities	Review of assessment + 10 years	Destroy	JISC	SI 2006/2739 does not prescribe a retention period for these records. Retaining assessments provides evidence of effective management of risks associated with works carried out.
27.6.5	Records documenting the monitoring of the condition of asbestos in premises, and of maintaining or removing it.		Estates and Facilities	Removal of asbestos + 10 years OR Subsequent inspection + 10 years	Destroy	JISC	Retaining these records provides evidence of compliance with S.I. 2006/2739.

27.7 Property Disposal

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

Activities include: obtaining valuations; undertaking surveys.

For establishing and managing contracts with external organisations for the provision of professional or technical services, use the relevant categories in PROCUREMENT.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
27.7.1	Records documenting the disposal of properties by sale, transfer or donation.		Estates and Facilities	Disposal of property + 12 years	Destroy	1980 c. 58 s 8	This retention period assumes that property contracts are executed as deeds. For other types of contracts, the retention period may be 6 years rather than 12 years.

27.8 Property Security Management

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

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

For installation of security equipment, use FACILITIES MANAGEMENT - FACILITY DEVELOPMENT OR EQUIPMENT & CONSUMABLES MANAGEMENT - EQUIPMENT INSTALLATION/COMMISSIONING, depending on the type of equipment.

For disciplinary action resulting from security breaches by, or involving, institutional staff, use HUMAN RESOURCES MANAGEMENT – EMPLOYEE CONTRACT MANAGEMENT.

For disciplinary action resulting from security breaches by, or involving students, use STUDENT ADMINISTRATION – STUDENT DISCIPLINARY CASE HANDLING.

For legal proceedings resulting from security breaches or incidents, use LEGAL AFFAIRS MANAGEMENT – LITIGATION.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
27.8.1	Records documenting the conduct and results of security inspections of properties, and action taken to address issues raised.		Estates and Facilities	Completion of subsequent inspections	Destroy	JISC	

27.8.2	Records documenting property access controls to secure areas (e.g. access registers, key registers, security data logs).	Access registers Key registers Data logs	Estates and Facilities/ Departments/ Faculties	Creation + 2 years	Destroy	JISC	
27.8.3	Records of security passes issued to visitors.		Estates and Facilities	Expiry of pass + 1 month	Destroy	JISC	
27.8.4	Records of security passes issued to employees, other staff and students.		Estates and Facilities	Expiry of pass + 1 year	Destroy	JISC	
27.8.5	Records documenting the conduct of routine security surveillance of properties.	CCTV images	Estates and Facilities	Creation + 21 days	Destroy	Internal Guidance	
27.8.6	Records documenting security breaches or incidents, and action taken.		Estates and Facilities	Last action on incident + 1 year	Destroy	JISC	

27.9 Property Leasing-out

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

For negotiation, establishment, maintenance and review of lease agreements, use LEGAL AFFAIRS MANAGEMENT - CONTRACTS & AGREEMENTS.

For legal proceedings arising from the leasing-out of property, use LEGAL AFFAIRS MANAGEMENT - LITIGATION.

For processing financial transactions associated with the leasing-out of property, use FINANCE MANAGEMENT – FINANCIAL ACCOUNTING.

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

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
27.9.1	Records documenting leasing-out arrangements for properties.		Estates and Facilities	Expiry of lease + 12 years	Destroy	1980 c. 58 s 8	This retention period assumes that leases are executed as deeds. For other types of contracts, the retention period may be 6 years rather than 12 years.

27.10 Space Management

The activities involved in allocating space and in monitoring and reviewing space utilisation.

Activities include: conducting space audits; monitoring the utilisation of space, ensuring compliance with legislation.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
27.10.1	Records documenting the conduct and outcomes of space audits.		Estates and Facilities	Completion of subsequent audit + 5 years	Destroy	JISC	

28 Facilities Management

The function of managing the institution's *facilities* (D1).

D1 *Facilities* means defined areas of land and defined interior areas of buildings which are designated for specific use.

Indoor facilities include: reception areas; offices; teaching and learning areas; libraries; museum galleries; studios; laboratories; workshops; kitchens; restaurants and bars; theatres and cinemas; shops; sports facilities; accommodation facilities; toilets; store rooms; plant rooms; garages.

Outdoor facilities include: sports fields, athletic tracks etc.; car parks; paths; gardens.

28.1 Facilities Strategy

The activities involved in developing and establishing the institution's facilities strategy.

Activities include: identifying requirements for new / revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
28.1.1	Records documenting the development and establishment of the institution's facilities strategy: key records.		Estates and Facilities	Superseded + 10 years	Archive	NA	

28.1.2	Records documenting the development and establishment of the institution's facilities strategy: working papers.		Estates and Facilities	Issue of strategy + 1 year	Destroy	NA	
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28.2 Facilities Management Policy Development

The activities involved in developing and establishing the institution's policies on the management of its facilities.

Activities include: identifying requirements for new / revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
28.2.1	Records documenting the development and establishment of the institution's facilities management policies: key records.		Estates and Facilities	Superseded + 10 years	Archive	JISC	
28.2.2	Records documenting the development and establishment of the institution's facilities management policies: working papers.		Estates and Facilities	Issue of policy + 1 year	Destroy	JISC	

28.3 Facilities Management Procedures Development

The activities involved in developing and establishing the institution's procedures for the management of its facilities.

Activities include: identifying needs for new / revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials;

submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

For developing health and safety procedures for specific facilities, use HEALTH & SAFETY MANAGEMENT - HEALTH & SAFETY PROCEDURES DEVELOPMENT.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
28.3.1	Records documenting the development of the institution's procedures relating to facilities management.		Estates and Facilities	Issue of procedures + 1 year	Destroy	JISC	
28.3.2	Master copies of procedures relating to facilities management.		Estates and Facilities	Superseded + 10 years	Review for archival value	JISC	

28.4 Facilities Development

The activities involved in developing new facilities and re-developing existing facilities.

Activities include: specifying requirements; preparing design schemes; obtaining permits for specific types of work; inspecting completed works and arranging external inspections to obtain necessary certifications.

For indoor facilities, activities include: decorating; installing fixtures, fittings and furnishings.

For outdoor facilities, activities include: groundwork; gardening; installing fixtures, fittings and furniture.

For establishing and managing contracts with external organisations for the provision of professional or technical services, use the relevant section of PROCUREMENT.

For installing and commissioning equipment, use EQUIPMENT & CONSUMABLES MANAGEMENT – EQUIPMENT INSTALLATION/COMMISSIONING.

The activities involved in developing new facilities and re-developing existing facilities.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
28.4.1	Records documenting the specification of requirements for facilities.		Estates and Facilities?	Completion of works + 15 years	Destroy	1980 c. 58 s 14	

28.4.2	Records documenting the development of interior design and fit-out schemes.		Estates and Facilities?	Completion of works + 15 years	Destroy	1980 c. 58 s 14	
28.4.3	Records documenting the carrying out of interior decoration and fitting-out works.		Estates and Facilities?	Completion of works + 15 years	Destroy	1980 c. 58 s 14	

28.5 Facilities Maintenance

The activities involved in maintaining facilities.

Activities include: conducting inspections; establishing and implementing planned maintenance programmes; carrying out reactive maintenance.

For maintaining equipment, use EQUIPMENT & CONSUMABLES MANAGEMENT – EQUIPMENT MAINTENANCE.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
28.5.1	Records documenting the conduct and results of inspections of facilities.	Facility inspection sheets	Estates and Facilities/ Departments	Completion of two subsequent inspections	Destroy	JISC	Retaining inspection records provides evidence of effective property management over time.
28.5.2	Records documenting the carrying out of major maintenance works within facilities.		Estates and Facilities?	Completion of works + 15 years	Destroy	1980 c. 58 s 14B	
28.5.3	Records documenting the carrying out of minor maintenance works within facilities.		Estates and Facilities	Current year + 5 years	Destroy	JISC	

28.6 Facilities Security Management

The activities involved in protecting facilities from accidental or intentional damage and in preventing unauthorised access. Activities include: conducting security inspections; conducting routine surveillance operations (e.g. guarding, patrol and CCTV surveillance) to prevent and detect unauthorised access; responding to, and investigating, security breaches or incidents.

For installation of security equipment, use FACILITIES MANAGEMENT - FACILITY DEVELOPMENT or EQUIPMENT & CONSUMABLES MANAGEMENT – EQUIPMENT INSTALLATION/COMMISSIONING, depending on the type of equipment.
 For maintenance of security equipment, use FACILITIES MANAGEMENT - FACILITY MAINTENANCE or EQUIPMENT & CONSUMABLES MANAGEMENT - EQUIPMENT MAINTENANCE, depending on the type of equipment.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
28.6.1	Records documenting the conduct and results of security inspections of facilities.		Departments/ Faculties	Completion of two subsequent inspection	Destroy	JISC	Retaining inspection records provides evidence of effective property management over time.
28.6.2	Records documenting the conduct of routine surveillance of facilities.	CCTV images	Departments	Creation + 1 month	Destroy	JISC	
28.6.3	Records documenting occurrences of unauthorised access to facilities, and action taken.		Departments	Last action on incident + 1 year	Destroy	JISC	

28.7 Facilities Compliance Management

The activities involved in complying with legislative requirements relating to the management of specific types of facilities. (N1)

Activities include: enabling inspections by enforcing authorities; ensuring the proper maintenance of required licensing or certification

N1 Some types of facilities are subject to specific legislation, or must comply with specific standards concerning layout, environmental conditions, types of fixtures and fittings etc. Series include: kitchens; laboratories; childcare facilities; archives storage facilities; animal housing facilities.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
28.7.1	Records documenting the conduct and outcomes of inspections of facilities by enforcing authorities.		Departments/ Faculties	Completion of subsequent inspection	Destroy	JISC	A longer retention period may be advisable for particular types of facilities (e.g. where there are significant health and safety risks) in order to maintain evidence of effective management over time.
28.1.2	Original licences and certificates		Departments/ Faculties	Superseded	Destroy	JISC	

29 Finance Management

The function of managing the institution's financial resources.

29.1 Finance Management Strategy

The activities involved in developing and establishing the institution's finance strategy.

Activities include: identifying requirements for new / revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
29.1.1	Records documenting the development and establishment of the institution's finance strategy: key records.		Finance	Superseded + 10 years	Archive	JISC	

29.1.2	Records documenting the development and establishment of the institution's finance strategy: working papers.		Finance	Issue of strategy + 1 year	Destroy	JISC	
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29.2 Finance Management Policy Development

The activities involved in developing and establishing the institution's policies on the management of its financial resources.

Activities include: identifying requirements for new / revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
29.2.1	Records documenting the development and establishment of the institution's finance management policies: key records.		Finance	Superseded + 10 years	Archive	JISC	
29.2.2	Records documenting the development and establishment of the institution's finance management policies: working papers.		Finance	Issue of policy + 1 year	Destroy	JISC	

29.3 Finance Management Procedures Development

The activities involved in developing the institution's procedures for the management of its financial resources.

Activities include: identifying needs for new / revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials;

submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
29.3.1	Records documenting the development of the institution's procedures relating to finance management.		Finance	Issue of procedures + 1 year	Destroy	JISC	
29.3.2	Master copies of procedures relating to finance management.		Finance	Superseded + 10 years	Review for archival value	JISC	

29.4 Financial Accounting

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

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

For payment of salaries, use FINANCE MANAGEMENT - PAYROLL ADMINISTRATION.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
29.4.1	Records documenting the issue of sales invoices and the processing of incoming payments.	Sales invoices Sales ledgers Credit notes Remittance advices Statements Cash register sheets Till rolls	Finance	Current financial year + 6 years	Destroy	1970 c. 9 s 34 1980 c. 58 s 5 1994 c. 23 HMRC Notice 700/21 para 5.2	
29.4.2	Records documenting the receipt and payment of purchase invoices and	Purchase invoices Payment authorisations Credit notes	Finance	Current financial year + 6 years	Destroy	1970 c. 9 s 34 1980 c. 58 s	

	accounting for expenditure.	Purchase ledgers Cheque authorisations Statements Credit card statements BACS reports Journal vouchers				5 1994 c. 23 HMRC Notice 700/21 para 5.2	
29.4.3	Records documenting the payment and/or reimbursement of employees' expenses.	Course/conference forms Travelling/Subsistence expenses forms	Finance	Current financial year + 6 years	Destroy	1970 c. 9 s 34 1980 c. 58 s 5	
29.4.4	Records documenting the payment of honoraria to third parties. Unless honoraria are administered through the payroll.		Finance	Current financial year + 6 years	Destroy	1970 c. 9 s 34 1980 c. 58 s 5	
29.4.5	Records documenting the payment of expenses to third parties (e.g. honorary appointees).		Finance	Current financial year + 6 years	Destroy	1970 c. 9 s 34 1980 c. 58 s 5	
29.4.6	Records documenting the handling of petty cash.	Petty cash authorisations Petty cash receipts Petty cash vouchers	Finance	Current financial year + 6 years	Destroy	1980 c. 58 s 5 1994 c. 23 HMRC Notice 700/21 para 5.2	
29.4.7	Records documenting the receipt and processing of tuition fees.		Finance	Current financial year + 6 years	Destroy	1970 c. 9 s 34 1980 c. 58 s 5	
29.4.8	Records documenting the preparation of annual accounts	End of year balances	Finance	Current financial year + 6 years	Destroy	1970 c.9	

29.4.9	Annual Accounts	Final accounts	Finance	Current financial year + 6 years	Archive	1970 c.9	
29.4.10	Processes that balance and reconcile financial accounts	Daily cash forms Reconciliation Summaries of accounts	Finance	Current financial year + 2 years	Destroy	Internal Guidance	

29.5 Management Accounting

The activities involved in monitoring and controlling the use of the institution's financial resources.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
29.5.1	Records documenting analyses of the internal deployment of the institution's financial resources.	Monthly and quarterly reports Creditors listings and reports Debtors listing and reports Cost analysis	Finance/ Departments/ Faculties for departmental analyses	Current financial year + 1 year	Destroy	JISC	

29.6 Statutory Accounting

The activities involved in preparing the institution's statutory accounts.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
29.6.1	Records documenting the preparation of the institution's statutory accounts.		Finance	Current financial year + 6 years	Destroy	1980 c.58	

29.7 Internal Accounting

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

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
29.7.1	Records documenting the processing of internal accounting transactions between operating units (i.e. cross-charges).	Recharge forms Summary reports	Departments/ Faculties	Current financial year + 1 year	Destroy	JISC	
29.7.2	Records documenting the negotiation and administration of formal contracts between operating units (e.g. for the provision of services.)		Departments/ Faculties	Termination of contract + 1 year	Destroy	JISC	

29.8 Funding Management

The activities involved in administering the institution's *income* (D1).

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

For processing financial transactions associated with the receipt and disbursement of funds, use FINANCE MANAGEMENT - FINANCIAL ACCOUNTING.

D1 *Income* includes: funding allocated by HE funding councils for teaching, research and other purposes; research grants; research contract income; income from provision of other commercial services; income from endowments and trusts; donations; interest earned on cash balances and investments; fee income from short courses; income from sponsorship.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
29.8.1	Records documenting the administration of annual funding allocations from the appropriate statutory funding body.		Finance	Current financial year + 10 years	Destroy	JISC	

29.8.2	Records documenting the administration of research grants provided by research councils or corporate sponsors.		Finance	Termination of grant + 6 years	Destroy	1980 c.58	
29.8.3	Records documenting the administration of funding from European Structural Funds.		Euro	Final payment on the programme to the UK + 3 years (see note) to Regional Authority for projects funded by ERDF, ESF & Framework Programmes.		Article 90 EC Regulation 1083/2006 & EC Article 19 of Regulation 1828/2006	The Project Sponsor (the University) must retain all original documents (or in versions certified to be in conformity with the originals on the commonly accepted data carriers listed in paragraph 4 of Article 19 of Regulation 1828/2006) relating to the implementations of the Project and it's financing for 3 years after the European Commission has made the final payment for the Structural Funds to WEFO. But since it is unclear when WEFO will receive final payment from the

							European Commission the Project Sponsor must retain all documents until WEFO informs the Project Sponsor in writing that it is safe to destroy them.
29.8.4	Records documenting the administration of scholarship funds.		Student Services	Current financial year + 6 years	Destroy	1980 c.58	
29.8.5	Records documenting the administration of gifts, benefactions and donations	Registers of gifts / hospitality	Finance	Current financial year + 6 years	Destroy	1980 c.58	

29.9 Financial Planning & Budgeting

The activities involved in forecasting the institution's income, planning the utilisation of these resources and setting and managing budgets.

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

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
29.9.1	Records documenting the preparation of annual operating budgets.	Resource development plans	Finance	Current financial year + 1 year	Destroy	JISC	
29.9.2	Records documenting the monitoring of income and expenditure against annual operating budgets, and action taken to deal with variances.	Budgetary control statement Departmental budget summary reports Statistics	Finance/ Departments/ Faculties for departmental summaries	Current financial year + 1 year	Destroy	JISC	

29.10 Payroll Administration

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

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

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
29.10.1	Records documenting employees' authorisation for non-statutory payroll deductions.	Deduction authorisation forms for subscriptions e.g. Union Subscriptions, Sports Centre Membership forms	Finance	Current tax year + 6 years	Destroy	1980 c.58	
29.10.2	Records documenting calculation and payment of employees' salaries and other payments.	Calculation of payroll	Finance	Minimum: Current tax year + 3 years Recommended:	Destroy	Minimum: <u>S.I. 2003/2682 Regulation 97(8)</u>	
				Current tax year + 6 years		<u>S.I. 1999/584 Regulation 38(7)</u> Recommended: <u>1970 c. 9 s 34</u>	
29.10.3	Employer's PAYE records which are not required to be sent to the Inland Revenue		Finance	Current tax year + 3 years		S.I. 2003/2682 Regulation 97(8)	'PAYE records' are defined in Regulation 97(2) of the Regulations.
29.10.4	Records documenting the administration of payments made under the Statutory Sick Pay scheme.		Finance	Current tax year + 3 years	Destroy	S.I. 1982/894 Regulation 13	
29.10.5	Records documenting the administration of payments made under the Statutory Maternity Pay scheme.		Finance	Current tax year + 3 years	Destroy	S.I. 1986/1960 Regulation 26	

29.11 Pension Contributions Administration

The activities involved in administering payments of the institution's employers' and employees' contributions to *pension schemes* (D1).

D1 *Pension schemes* includes: Universities Superannuation Scheme; Teachers' Pension Scheme and Local Government Pension Scheme.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
29.11.1	Records documenting payments of the institution's employers' contributions to pensions schemes for its employees.		Finance	Termination of employment + 75 years	Destroy	1980 c.58 s 32	
29.11.2	Records documenting payments of the institution's employees' contributions to pension schemes.		Finance	Termination of employment + 75 years	Destroy	1980 c.58 s 32	

29.12 Tax Management

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

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

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
29.12. 1	Records documenting the preparation and filing of the institution's tax returns.	VAT returns	Finance	Current tax year + 6 years *	Destroy	1970 c. 9 s 34	
29.12.2	Records documenting the institution's accounting for VAT.	VAT accounts	Finance	Current tax year + 6 years	Destroy	1994 c. 23 s 58 and Schedule 11, para 6(3) S.I. 1995/2518 s 31 HMRC Notice 700/21 para 5.2	

29.13 Cash Management

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

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
29.13.1	Records documenting the opening, closure and routine administration of bank accounts.	Bank Statements	Finance	Closure of account + 6 years	Destroy	1980 c. 58 s 5	
29.13.2	Records documenting standing orders, direct debits etc.	Direct debits mandates	Finance	Life of instruction + 6 years	Destroy	1980 c. 58 s 5	

29.13.3	Records documenting routine bank account deposits / withdrawals / transfers (paying-in slips, transfer instructions, bank statements etc.)	Banks paying-in slips Cancelled cheques Bank transfer instructions	Finance	Current financial year + 6 years	Destroy	1970 c. 9 s 34 1980 c. 58 s 5	
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29.14 Investment Management

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

Activities include: liaising with fund managers.

For establishing and managing contracts with fund managers and stockbrokers, use the relevant categories in PROCUREMENT.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
29.14.1	Records documenting the overall management of the institution's financial investment portfolio.	Investment portfolio reports	Finance	Divestment + 6 years	Destroy	1980 c. 58 s 5	
29.14.2	Records documenting the purchase / sale of investments.	Share certificates Investment instructions	Finance	Current financial year (of transaction) + 6 years	Destroy	1970 c. 9 s 34	

29.15 Asset Management

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

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

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
29.15.1	Records documenting the value of the institution's capital assets.	Assets register	Finance	Current financial year + 6 years *	Archive	1970 c. 9 s 34	
29.15.2	Records documenting	Disposal authorisation	Finance	Current financial year	Destroy	1970 c. 9 s	

	decisions (and authorisations) to dispose of capital assets.			(of disposal) + 6 years		34 1980 c. 58 ss 2 and 5	
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30. Human Resources Management

The function of managing the institution's workforce and its contractual relationship with individual *employees, others on the USW Payroll and in some cases, visitors to the institution.*

For establishing and managing contracts with employment agencies for the supply of temporary staff, use the relevant categories in PROCUREMENT.

30.1. Human Resources Strategy Development

The activities involved in developing and establishing the institution's human resources strategy. This includes the development of all strategy papers and reports, consultation with appropriate stakeholders and any final documents produced. It includes both working papers and formal documentation

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
30.1.1	Records documenting the development and establishment of the institution's People Plan and/or HR Strategy: key records.		HR	Superseded + 2 years	Destroy	Internal Guidance	
30.1.2	Records documenting the development and establishment of the institution's human resources strategy: working papers.		HR	Issue of strategy + 1 year	Destroy	JISC	

30.2. Human Resources Management Policy Development

The activities involved in developing, establishing and reviewing the institution's policies and procedures for the management of its human resources.

This includes the development of all policy papers and reports, consultation with appropriate stakeholders including the trades unions, and any final documents produced. It includes both working papers and formal documentation.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
30.2.1	Employment related policies, procedures and guidance		HR	Superseded + 6 Years (for those related to pay) Superseded + 3 years (all others)	Destroy	Internal Guidance	
30.2.2	Records documenting the development and establishment of the institution's Employment related policies, procedures and guidance: working		HR	Issue of policy + 1 year	Destroy	JISC	

30.3. Workforce Planning

The activities involved in identifying the workforce competencies and numbers required to implement the institution's strategic plan and the plans of all faculties and departments, determining how to meet these requirements. It includes data and information analyses, size, structure and required competencies of the University's workforce and developing all job information (eg job descriptions, job evaluation information)

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
30.3.1	Records documenting the assessment and analysis of workforce requirements, and the identification and evaluation of options for meeting these requirements.		HR	Current year + 3 years	Review for archival value	1980 c.58	
30.3.2	Development and evaluation of job specifications.	Job descriptions Job evaluations	HR/Faculties	years		Guidance	
30.3.3	Documents relating to the restructuring of a Faculty/Department.	Business Case and formal consultation documentation		3 years	Destroy		

30.4. Workforce Recruitment

The activities involved in recruiting employees to fill vacant positions. This includes authorising recruitment; advertising vacancies; handling enquiries about vacancies; processing employment applications; reviewing and responding to unsolicited applications for employment.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
30.4.1	Records documenting the handling of applications for vacancies: <u>unsuccessful</u> applications.	Recruitment file including:- Unsuccessful application forms, Interview checklist forms, Job file checklist, Interview record sheets E-recruitment systems	HR/Faculty/Department	Completion of recruitment process + 8 months	Destroy	Internal and external Guidance	Retention must comply with the provisions of the Data Protection Act 1998. See Section 1.7 of the Employment Practices Code (Information Commissioner's Office, 2005). Anonymised data may be held for a longer period (e.g. for equality monitoring purposes).
30.4.2	Records documenting the handling of applications for vacancies: <u>successful</u> applications.	Successful application forms. Person Specification, Interview record sheets, RD1 form and advert New starters checklist	HR / Faculty and Departments I(interview files)	Termination of employment + 6 years (as part of employee contract records) except information which is not relevant to the ongoing employment relationship.	Destroy		For employment records, see HUMAN RESOURCES MANAGEMENT - EMPLOYEE CONTRACT MANAGEMENT)
30.4.3	Records documenting the handling of <u>unsolicited</u> applications for employment.		HR	Immediately	Destroy	JISC	

30.5. Workforce Training & Development

The activities involved in providing training and development opportunities for employees. This includes identifying and analysing training and development needs; identifying and evaluating ways of meeting these needs; developing/selecting training and development programmes; monitoring take-up of training and development programmes; collecting and analysing feedback on training and development programmes; measuring the impact of training and development programmes.

This activity is NOT intended to cover 'user training' (e.g. for specific internal systems or services) or other training which is an integral part of a function and activity covered elsewhere in this Schedule (e.g. training on health and safety procedures).

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
30.5.1	Records containing summary information on workforce training and development needs. For records documenting individual employees' training and development needs, see Employee Contract Management.		HR	Current year + 5 years	Destroy	JISC	For records documenting individual employees' training and development needs, see Employee Contract Management. Current manual documentation is not held centrally in HR – also, when itrent holds the DPR and
30.5.2	Records documenting the development of training and development programmes to meet defined needs.	Training programmes (including induction), Training Groups minutes	HR/Departments/Faculties	Completion of programme	Review for archival value	Internal Guidance	
30.5.3	Records containing individual feedback on training and development programmes.	Feedback forms	HR/Departments/Faculties	Completion of analysis of feedback	Destroy	JISC	
30.5.4	Records documenting (anonymised) workforce feedback on training and development programmes.		HR/Departments/Faculties	Completion of analysis	Destroy	Internal Guidance	
30.5.5	Records documenting management analyses of the impact of training and development programmes.	Evaluation reports	HR	Completion of analysis	Destroy	Internal Guidance	

30.6. Workforce Remuneration & Reward Management

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

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
30.6.1	Records documenting the development of the institution's remuneration structure.	Pay scales	HR	Termination of pay structure + 6 years	Review for archival value	JISC	
30.6.2	Records documenting pay reviews.	UCEA documentation Remuneration	University's Secretary's Office	6 years from review	Review for archival value	JISC	

30.7. Health and Wellbeing

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

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
30.7.1	Records documenting the hours worked by employees, including those who have agreed to work more than 48 hours a week, as required by the Working Time Regulations 1998 (SI 1998/1833).	Timesheets (including electronic)	HR	Date of record + 6 years	Destroy	S.I. 1998/1833 Regulations 5 and 9	

30.8. Employee Relations

The activities involved in managing the institution's relationship with its workforce. It includes developing and implementing mechanisms for communicating with, and consulting, the workforce; conducting workforce surveys and reviewing and responding to the results.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
30.8.1	Records documenting the design of workforce surveys and consultations.		HR	Completion of survey	Review for archival value	Internal Guidance	
30.8.2	Records containing (identifiable) individual responses to workforce surveys and consultations.		HR	Completion of analysis of responses	Destroy	JISC	
30.8.3	Records containing summary (anonymised) results of workforce surveys and consultations.		HR	Completion of survey + 5 years	Review for archival value	JISC	

30.9. Employee Contract Management

The activities involved in managing the institution's contractual relationships with individual employees. It includes maintaining complete and accurate records of individual employees' recruitment, induction, performance, discipline, training and development, occupational health and welfare, leave, pensions and termination; providing employment references for current and former employees.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
30.9.1	Central personal file	Contents of the personal file, including induction	HR	Termination of employment + 75 years if they contain pension details Termination of employment + 6 years for everything else	Review for archival value	1980 c.58 IR CA30	See Section 1.7 of the Employment Practices Code (Information Commissioner's Office, 2005). For employee contract records, see HUMAN RESOURCES MANAGEMENT - EMPLOYEE CONTRACT MANAGEMENT).

30.9.2	Departmental/Faculty personal file	Contents of a departmental personal file	Departments / Faculties	Termination of employment + 6 years maximum – duplication of records	Destroy	1980 c.58 with regard to the provision of 1998 c.29	These are duplicates from the central personal file and records within the file should not be held for longer than necessary – the central personal file holds the master copies.
30.9.3	Records documenting the employee's initial application for employment with the institution and supporting documentation supplied by third parties (e.g. references, DBS record checks).	Application form, Letter of job offer and acceptance Confirmations of medical clearances, References, Copy of professional qualifications, National Insurance details, Copy of ID, Confirmation of work permit DBS record checks	HR HR	Termination of employment + 6 years (as part of employee contract records) except information which is not relevant to the ongoing employment relationship.	Destroy Destroy (any historical copies held due to previous regulations)	1980 c. 58 s 5	Includes information transferred from the recruitment file to the personal file DBS records are no longer provided or retained by the University. A copy is provided to the employee, for them to show the relevant manager. The relevant DBS reference is noted on iTrent.
30.9.4	Records documenting an employee's contract(s) of employment with the institution, including details of terms and conditions of employment and any variation.	Contract Letters of confirmation/variation. Letters relating to probationary period.	HR	Termination of employment + 6 years	Destroy	1980 c. 58 s 5	

30.9.5	Records documenting induction programmes attended by an employee.	Induction training Attendance details	HR/	Completion of induction + for the duration of the personal file	Destroy	Internal Guidance	
		Induction/Starter form	Departments/ Faculties	First appraisal + 1 year	Destroy		
30.9.6	Records documenting an employee's identified training and development needs, and the action taken to meet these needs.		HR/Departments/ Faculties	Completion of actions + 1 year	Destroy	Internal Guidance	
			Departments/ Faculties	Duration of the course	Destroy		
30.9.7	Records documenting job-specific statutory/regulatory training requirements for an employee, and the training provided to meet these requirements.		Departments/ Faculties	Expiry of certification + 6 years OR Superseded + 6 years	Destroy	1980 c. 58 s 5	
30.9.8	Records documenting routine assessments of an employee's performance, and any consequent action taken.	Appraisals	Departments/ Faculties/Line Managers	Current appraisal + 3 years	Destroy	Internal Guidance	
			HR/ Departments/ Faculties				

30.9.9	Records documenting disciplinary proceedings against an employee, where employment continues.	Disciplinary records	HR	<p>Closure of case + 3 years.</p> <p>Outcome letter and Investigators report to remain on personal file – termination of employment + 6 years</p>	Destroy	Internal Guidance	<p>Chartered Institute of Personnel and Development recommends '6 years after employment ceases'. See its factsheet on <i>Retention of personnel and other related records (2006)</i>.</p> <p>Employment Act 2002 (Dispute Resolutions 2004 mean that, where a TUPE transfer takes place, we need to provide the potential new employer with records on each member of staff going back two years.</p> <p>If disciplinary investigations are unfounded, destroy immediately or after appeal, or after the period in which an appeal can be made has passed.</p> <p>The statute of limitations for personal injury claims is 3 years.</p>
30.9.10	Records documenting grievances (including Dignity at Work complaints) raised by an employee, the institution's response, action taken and the outcome.	Grievance records Unfounded grievances	HR	<p>Closure of case + 3 years</p> <p>Outcome letter and Investigators report to remain on personal file – termination of employment + 6 years</p>	Destroy	Internal Guidance	<p>CIPD recommends '6 years after employment ceases'. See its factsheet on <i>Retention of personnel and other related records (2006)</i>.</p> <p>Employment Act 2002 (Dispute Resolutions 2004) mean that, where a TUPE transfer takes place, we need to provide the potential new employer with records on each member of staff going back 2 years. The statute of limitation period for personal injury claims is 3 years.</p>

30.9.11	Records relating to the administration of an employee's contractual holiday entitlement.	Annual Leave electronic records	HR/Departments/ Faculties	6 years from end of leave year.		JISC	
30.9.12	Records documenting an employee's absence due to sickness.	Medical certificates.	HR	Termination of employment + 3 years	Scan onto iTrent and Destroy	IR CA30	
30.9.13	Records documenting the monitoring of staff absences		Departments/ Faculties/Line Managers	Current year + 3 year	Destroy	Internal Guidance	
30.9.14	Records documenting the authorisation and administration of leave, e.g. Statutory Maternity Pay, shared parental pay, adoption	Records confirming leave	HR/Departments/ Faculties	Current year/completion of entitlement + 6 year	Destroy		The Statutory Maternity Pay (Regulations 1986 as amended require retention of records for 3 years after the end of the tax year in which
30.9.15	Records documenting pre-employment health screening of an employee: employees exposed to hazardous substances during employment.		OH+S	See HEALTH & SAFETY MANAGEMENT - HAZARDOUS SUBSTANCE EXPOSURE CONTROL.			
30.9.16	Records documenting pre-employment health screening of an employee: other employees (excluding those having worked in posts requiring health surveillance)		OH+S	Termination of employment + 6 years	Destroy	1980 c. 58 s 5	

30.9.17	Occupational Health reports (including management referral)- for those having worked in posts requiring health surveillance		OH	Termination of employment + 40 years.	Destroy		
30.9.18	Occupational Health reports – other employees (including management referral document).		OH	Termination of employment + 3 years	Destroy		
30.9.19	Records documenting the issue of personal protective equipment/other special equipment to an employee.		Departments/ Faculties	Termination of employment + 6 years	Destroy	1980 c. 58 s 5	
30.9.20	Records documenting major injuries to an employee arising from accidents in the workplace.		OH+S	Termination of employment + 40 years	Destroy	1980 c. 58 s 11	
30.9.21	Records documenting settlement agreements/COT3		HR	Termination of employment + 10 years	Destroy		
30.9.22	Records documenting an employee's termination of employment by voluntary resignation, redundancy, retirement (including on medical grounds) or dismissal.	Letters of resignation Redundancy records, Retirement records, Dismissal records	HR/Departments/ Faculties HR	Termination of employment + 6 years	Destroy	1980 c. 58 s 5	
30.9.23	Records documenting references provided in confidence in support of an employee's application(s) for employment by another organisation.	References provided	Departments/ Faculties	Provision of reference + 1 year	Destroy	JISC	

30.10. Industrial Relations Management

The activities involved in managing the institution's relationships with its recognized trades unions representing its workforce. This includes managing recognition and de-recognition of trades unions; managing communication and consultation with trades unions conducting collective bargaining on behalf of the workforce.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
30.10.1	Records documenting institutional recognition/de-recognition of trades unions.		HR	De-recognition + 10 years	Destroy	1980c.58	CIPD recommendation
30.10.2	Records documenting consultation/negotiations re: facilities agreements with trade unions.		HR	Termination of agreement + 10 years	Destroy	CIPD, <i>Retention of personnel and other related records (2006)</i>	
30.10.3	Joint Negotiating and Consultative Committee and Common Interest Group minutes.		HR	5 years	Destroy		

30.11. Pension Schemes Administration

The activities involved in administering the institution's involvement with external *pension schemes* of which its staff are members. This includes all schemes operating within USW.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
30.11.1	Records documenting the institution's relationships with pension schemes to which all or part of its workforce belongs.		HR	Termination of relationship + 5 years	Destroy	JISC	
30.11.2	Records documenting routine communications with the pension schemes.		HR	Current year + 5 years	Destroy	JISC	For administration of individual employees' relationships with the pension schemes, use Employee Contract Management.

Equality & Diversity to be added

Health & Safety to be added

31 Information Compliance Management

The function of ensuring that the institution complies with *legislation on access to information* (D1).

D1 *Legislation on access to information* means legislation on data protection, freedom of information and access to environmental information.
In England and Wales, the relevant legislation is: Data Protection Act 1998; Freedom of Information Act 2000; Environmental Information Regulations 2004.

31.1 Information Compliance Strategy Development

The activities involved in developing and establishing the institution's information compliance strategy.

Activities include: identifying requirements for new / revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
31.1.1	Records documenting the development and establishment of the institution's information compliance strategy: key records.		LCSS-LR	Superseded + 5 years	Archive	JISC	
31.1.2	Records documenting the		LCSS-LR	Issue of strategy + 1	Destroy	JISC	

	development and establishment of the institution's information compliance strategy: working papers.			year			
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31.2 Information Compliance Management Policy Development

The activities involved in developing and establishing the institution's policies on information compliance.

Activities include: identifying requirements for new / revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
31.2.1	Records documenting the development and establishment of the institution's information compliance policies: key records.		LCSS-LR	Superseded + 5 years	Archive	JISC	
31.2.2	Records documenting the development and establishment of the institution's information compliance policies: working papers.		LCSS-LR	Issue of policy + 1 year	Destroy	JISC	

31.3 Information Compliance Management Procedures Development

The activities involved in developing the institution's procedures for information compliance.

Activities include: identifying needs for new / revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials;

submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
31.3.1	Records documenting the development of the institution's procedures relating to information compliance.		LCSS-LR	Issue of procedures + 1 year	Destroy	JISC	
31.3.2	Master copies of procedures relating to information compliance.		LCSS-LR	Superseded + 3 years	Review for archival value	JISC	

31.4 Data Protection Act Compliance

The activities involved in complying with legislation on data protection (N1).

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

For financial transactions associated with providing information, use FINANCE MANAGEMENT - FINANCIAL ACCOUNTING.

N1 In the UK, the relevant legislation is the Data Protection Act 1998.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
31.4.1	Records documenting the institution's notification of data controller details (to be added to the public register of data controllers) to the Information Commissioner's Office, as required by s 2 of the Data Protection Act 1998 (c. 29).	Notification returns	LCSS-LR	Current year + 1 year	Destroy	1980 c.58	Notification must be renewed annually to maintain an entry in the public register of data controllers.

31.4.2	Records documenting the handling of requests for access to personal information held by the institution under the Data Protection Act 1998 (c. 29).	SAR received, responses and associated documentation	LCSS-LR	Last action on request + 1 year	Destroy	Common practice	1998 c. 29 does not prescribe a retention period for these records. A longer retention period may be appropriate for records documenting the handling of requests which resulted in complaints or appeals.
		Withdrawn SAR	LCSS -LR	Last action on request + 1 month	Destroy	Internal Guidance	
31.4.3	Records containing (anonymised) statistics, analyses and reports of requests for access to personal information held by the institution under the Data Protection Act 1998 (c. 29).		LCSS-LR	Current year + 10 years	Destroy	1980 c.58	

31.5 Freedom of Information Act Compliance

The activities involved in complying with legislation on freedom of information (N1).

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

For financial transactions associated with providing information, use FINANCE MANAGEMENT - FINANCIAL ACCOUNTING.

N1 In England and Wales, the relevant legislation is the Freedom of Information Act 2000.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
31.5.1	Records documenting the development and maintenance of the institution's Publication Scheme, as required by the	Publication scheme	LCSS-LR	Completion of revision of Publication Scheme + 5 years	Archive	JISC	

	Freedom of Information Act 2000 (c. 36).						
31.5.2	Records documenting the handling of requests for information held by the institution, made under the Freedom of Information Act 2000 (c. 36).	Requests received, responses and any associated documentation;	LCSS-LR	Completion of request handling process + 3 years	Destroy	Records created by a public body fulfilling its obligations under the Freedom of Information Act 2000 (The National Archives).	The National Archives recommends '3 Years after date of creation'. See <i>Records created by a public body fulfilling its obligations under the Freedom of Information Act 2000</i> (The National Archives). Records (or information extracted from them) relating to cases which set legal precedents or which establish principles for handling requests for certain types of information should be kept for longer, possibly as part of policy development records (see INFORMATION COMPLIANCE MANAGEMENT - INFORMATION COMPLIANCE POLICY DEVELOPMENT). A request handling process is completed when the request has been fulfilled or when all complaints and/or appeals (against non-disclosure of information or methods of handling the request) have been determined.

31.5.3	Records containing (anonymised) management statistics, analyses and reports of requests for information held by the institution, made under the Freedom of Information Act 2000 (c. 36).		LCSS-LR	Current year + 10 years	Destroy	<i>Records created by a public body fulfilling its obligations under the Freedom of Information Act 2000 (The National Archives).</i>	
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31.6 Environmental Information Regulations Compliance

The activities involved in complying with legislation on access to environmental information (N1).

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

For financial transactions associated with providing information, use FINANCE MANAGEMENT - FINANCIAL ACCOUNTING.

N1 In England and Wales, the relevant legislation is the Environmental Information Regulations 2004.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
31.6.1	Records documenting the handling of requests for environmental information held by the institution, made under the Environmental Information Regulations 2004 (SI 2004/3391).		LCSS-LR/Estates and Facilities	Completion of request handling process + 3 years	Destroy	JISC	This recommended retention period is in line with the period recommended by The National Archives for retention of records relating to the handling of requests for information under the Freedom of Information Act 2000. See <i>Records created by a public body fulfilling its obligations under the Freedom of Information Act 2000</i> (The National Archives). Records (or information extracted

							from them) relating to cases which set legal precedents or which establish principles for handling requests for certain types of information should be kept for longer, possibly as part of policy development records (see INFORMATION COMPLIANCE MANAGEMENT - INFORMATION COMPLIANCE POLICY DEVELOPMENT).
31.6.2	Records containing (anonymised) management statistics, analyses and reports of requests for environmental information held by the institution, made under the Environmental Information Regulations 2004 (SI 2004/3391).		LCSS-LR. Estates and Facilities	Current year + 10 years		Records created by a public body fulfilling its obligations under the Freedom of Information Act 2000 (The National Archives).	

32 Records Management

The function of managing the institution's *records* (D1). (N1)

For managing file rooms, registries, records centres and other facilities where records are stored and used, use ESTATE MANAGEMENT and/or FACILITIES MANAGEMENT.

For providing records-related services, add a Function 'RECORDS SERVICES' (using the framework in CORPORATE SERVICES or COMMERCIAL SERVICES, depending on the circumstances, as a starting point).

D1 *Records* means 'information created, received, and maintained as evidence and information by an organization, or person, in pursuance of legal obligations or in the transaction of business' ISO 15489-1:2001 Information and documentation – Records Management – Part 1: General, para. 3.15

Records may be in any medium and format including paper and electronic documents, electronic databases, data in electronic systems and audio-visual materials.

N1 This function covers the management of the institution's records. It does NOT cover the management of the business units which are responsible for the institution's records or of the buildings/facilities where the records are stored or used.

32.1 Records Management Strategy Development

The activities involved in developing and establishing the institution's records management strategy.

Activities include: identifying requirements for new / revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
32.1.1	Records documenting the development and establishment of the institution's records management strategy: key records.		LCSS-LR	Superseded + 5 years	Archive	JISC	
32.1.2	Records documenting the development and establishment of the institution's records management strategy: working papers.		LCSS-LR	Issue of strategy + 1 year	Destroy	JISC	

32.2 Records Management Policy Development

The activities involved in developing and establishing the institution's policies on the management of its records.

Activities include: identifying requirements for new / revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
32.2.1	Records documenting the development and establishment of the institution's records management policies: key records.		LCSS-LR	Superseded + 5 years	Archive	JISC	
32.2.2	Records documenting the development and establishment of the institution's records management policies: working papers.		LCSS-LR	Issue of policy + 1 year	Destroy	JISC	

32.3 Records Management Procedures Development

The activities involved in developing the institution's procedures for the management of its records.

Activities include: identifying needs for new / revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
32.3.1	Records documenting the development of the institution's procedures relating to records management.		LCSS-LR	Issue of procedures + 1 year	Destroy	JISC	
32.3.2	Master copies of procedures relating to records management.		LCSS-LR	Superseded + 3 years	Review for archival value	JISC	

32.4 Records Creation & Capture

The activities associated with creating and capturing records.

Activities include: determining recordkeeping requirements for individual business activities and processes.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
32.4.1	Records documenting recordkeeping requirements for specific business activities and processes.		LCSS-LR Departments/ Faculties for Departmental procedures	Superseded	Destroy	JISC	

32.5 Records Organisation & Description

The activities associated with organising, classifying and indexing records.

Activities include: developing business classification schemes; developing file plans; developing thesauri; developing metadata schemes.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
32.5.1	Records documenting classification and indexing schemes for records.		LCSS-LR	Superseded + 5 years	Destroy	JISC	

32.6 Records Storage & Handling

The activities associated with storing records and ensuring proper handling while in transit to and from storage.

Activities include: determining appropriate storage conditions; devising storage control systems; determining requirements and devising systems for converting records to alternative storage media.

For establishing and managing contracts with external organisations for storage services, use the relevant Activities within PROCUREMENT.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
32.6.1	Records documenting storage locations of records.		LCSS-LR Departments/ Faculties for Departmental Procedures	Superseded	Destroy	JISC	
32.6.2	Records documenting the movement of records to/from storage.		LCSS-LR Departments/ Faculties for Departmental procedures	Return of records + 1 year	Destroy	JISC	

32.7 Records Access Control

The activities involved in controlling access to records.

Activities include: devising access / retrieval control systems; operating access / retrieval control systems; tracking the movement of records; supervising access to records under controlled conditions.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
32.7.1	Records documenting the provision of access to records.		LCSS-LR Departments/ Faculties for Departmental procedures	Date of access + 1 year	Destroy	JISC	

32.8 Records Retention

The activities associated with retaining records for the appropriate periods of time.

Activities include: identifying requirements to retain records; developing records retention schedules; applying records retention schedules.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
32.8.1	Records documenting the determination of retention periods for records.		LCSS-LR	Completion of revised Records Retention Schedule + 1 year	Destroy	JISC	
32.8.2	Final versions of Records Retention Schedules		LCSS-LR	Permanent	Archive	JISC	Retaining a history of retention periods provides evidence of effective control of records and the basis for disposal of records.
32.8.3	Records documenting the review of individual records to determine requirements for ongoing retention, where records are disposed of.		LCSS-LR	Life of records + 25 years	Destroy	JISC	

32.9 Records Maintenance

The activities associated with maintaining the physical form and intellectual content of records.

Activities include: carrying out physical conservation of records.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
32.9.1	Records documenting conservation work undertaken on records.		LCSS-LR	Disposal of records	Destroy	JISC	

32.10 Records Disposal

The activities associated with disposing of redundant records.

Activities include: authorising disposal of redundant records; preparing redundant records for disposal.

For organising physical disposal of records, use ENVIRONMENTAL MANAGEMENT - WASTE MANAGEMENT.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
32.10.1	Records documenting authorisation for the disposal of redundant records.		LCSS-LR Departments/ Faculties for Departmental procedures	Disposal of records + 25 years	Destroy	JISC	

32.11 Records Survey / Audit

The activities involved in conducting a records survey or audit.

Activities include: devising methods of capturing and analysing survey / audit data; capturing and analysing data; preparing reports.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
32.11.1	Records documenting the conduct and results of records surveys/audits.		LCSS-LR	Completion of subsequent survey/audit	Destroy	JISC	This retention period assumes that the purpose and scope of the subsequent audit is comparable. If it is not, a longer retention period should be considered.

33 Archives Management

The function of managing the institution's *archives* (D1). (N1)

For managing archives centres and other facilities where archives are stored and made available to researchers, use ESTATE MANAGEMENT and/or FACILITIES MANAGEMENT.

For providing archives-related services, add a Function 'ARCHIVES SERVICES' (using the framework in CORPORATE SERVICES or COMMERCIAL SERVICES, depending on the circumstances, as a starting point).

For managing collections of manuscripts which are not institutional archives (see Definition), use COLLECTIONS MANAGEMENT.

D1 *Archives* means records (see Records Management) which are preserved permanently because of the enduring value of the information they contain or the evidence they provide of the institution's functions and activities.

N1 This function covers the management of the institution's archives. It does NOT cover the management of the business units which are responsible for the archives or of the buildings/facilities where the archives are stored or made available to researchers.

33.1 Archives Strategy Development

The activities involved in developing and establishing the institution's archives strategy.

Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
33.1.1	Records documenting the development and establishment of the institution's archives strategy: key records.		LCSS-LR	Superseded + 5 years	Archive	JISC	
33.2.2	Records documenting the development and establishment of the institution's archives strategy: working papers.		LCSS-LR	Issue of strategy + 1 year	Destroy	JISC	

33.2 Archives Management Policy Development

The activities involved in developing and establishing the institution's policies on the management of its archives.

Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
33.2.1	Records documenting the development and establishment of the institution's archives management policies: key records.		LCSS-LR	Superseded + 5 years	Archive	JISC	
33.2.2	Records documenting the development and establishment of the institution's archives management policies: working papers.		LCSS-LR	Issue of policy + 1 year	Destroy	JISC	

33.3 Archives Management Procedure Development

The activities involved in developing the institution's procedures for the management of its archives.

Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
33.3.1	Records documenting the development of the institution's procedures relating to archives management.		LCSS-LR	Issue of procedures + 1 year	Destroy	JISC	
33.3.2	Master copies of procedures relating to archives management.		LCSS-LR	Superseded + 3 years	Review for archival value	JISC	

33.4 Archives Acquisition

The activities involved in acquiring archives.

Activities include: receiving and appraising archives, and returning or otherwise disposing of unwanted material.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
33.4.1	Records documenting the development and establishment of the selection criteria for records to be preserved as archives.		LCSS-LR	Life of archives		JISC	
33.4.2	Records documenting the appraisal, selection and acquisition of records for preservation as institutional archives.		LCSS-LR	Life of records		JISC	
33.4.3	Records documenting the accessioning of records acquired for preservation as archives.		LCSS-LR	Life of archives		JISC	

33.5 Archives Organisation & Description

The activities involved in organising and describing archives.

Activities include: creating and maintaining records of the provenance, history and management of archives (including remedial conservation, de-accession and disposal).

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
33.5.1	Records documenting the institution's scheme of arrangement for its archives.		LCSS-LR	Life of records arranged according to the scheme	Destroy	JISC	
33.5.2	Records documenting the development of the		LCSS-LR	Life of records described using the	Destroy	JISC	

	institution's standard descriptive model for its archives.			model			
33.5.3	Records containing the descriptions of the records held as archives.		LCSS-LR	Life of records	Destroy	JISC	

33.6 Archives Storage & Handling

The activities involved in storing archives and in ensuring proper handling while in transit to and from storage.

Activities include: determining appropriate storage conditions for archives; devising storage control systems.

For developing, maintaining and operating storage premises/facilities for archives (including monitoring environmental conditions), use the relevant categories in ESTATE MANAGEMENT, FACILITIES MANAGEMENT and EQUIPMENT & CONSUMABLES MANAGEMENT.

For establishing and managing contracts with external organisations for storage services, use the relevant categories in PROCUREMENT.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
33.6.1	Records documenting the monitoring and control of the storage of archives.		LCSS-LR	Current year + 1 year	Destroy	JISC	
33.6.2	Records documenting the movement of archives from/to storage.		LCSS-LR	Return of items + 1 year	Destroy	JISC	

33.7 Archives Access Control

The activities involved in controlling access to archives.

Activities include: devising access control systems; supervising access to archives under controlled conditions.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
33.7.1	Records documenting requests for access to archives.		LCSS-LR	Last action on request + 1 year	Destroy	JISC	

33.8 Archives Conservation

The activities involved in preserving the physical condition of archives.

Activities include: undertaking condition surveys; applying conservation treatments to preserve, repair or restore the condition of items.

For establishing and managing contracts with external organisations for conservation services, use the relevant categories in PROCUREMENT.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
33.8.1	Records documenting conservation work undertaken on items in the archives.		LCSS-LR	Life of records	Destroy	JISC	

33.9 Archives Disposal

The activities involved in de-accessioning and disposing of archives.

For organising physical disposal of materials, use ENVIRONMENTAL MANAGEMENT - Waste Management.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
33.9.1	Records documenting authorisation for the disposal of de-accessioned records.		LCSS-LR	Completion of disposal process + 6 years	Destroy	1980 c. 58 s 5	

33.10 Archives Promotion & Exploitation

The activities involved in promoting the institution's archives and facilitating access to them.

Activities include: developing guides, indexes and other interpretive materials; developing and organising events (e.g. temporary exhibitions, conferences, tours) and activities (e.g. workshops, lectures, demonstrations); assembling special loan collections of items and interpretive materials to support recreational activities and educational programmes.

For producing publications, use PUBLISHING - Publication Production.

For organising events, add an Activity 'Event Management' (using COMMON ACTIVITIES - Event Management as a starting point).

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
33.10.1	Records documenting the development and maintenance of specialised finding aids to promote and facilitate access to (items in) the archives.		LCSS-LR	Superseded	Destroy	JISC	
33.10.2	Records documenting the design and distribution of promotional materials to raise awareness and encourage use of (items in) the archives.		LCSS-LR	Superseded	Destroy	JISC	
33.10.3	Records documenting enquiries about (items in) the archives, and the responses provided. <i>Note: key information from substantive enquiries may be extracted and indexed to avoid repetitive research.</i>		LCSS-LR	Last action on enquiry + 1 year	Destroy	JISC	
33.10.4	Records documenting the selection and use of items from the archives by institutional staff (e.g. for teaching events, publications, exhibitions).		LCSS-LR	Current + 5 years	Destroy	JISC	
33.10.5	Records documenting the selection and use of items from the archives by third parties (e.g. for exhibitions, publications, television programmes).		LCSS-LR	Last action on project + 5 years	Destroy	JISC	

33.10.6	Records documenting loans of items from the archives to third parties.		LCSS-LR	Termination of loan + 6 years	Destroy	1980 c.58 s 5	
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34 Collections Management

The function of managing the institution's *collections (D1)* of artworks, artefacts and manuscripts. (N1)

For managing museums, galleries and other facilities where collections are stored, displayed or made available to researchers, use ESTATE MANAGEMENT and/or FACILITIES MANAGEMENT.

For providing collections-related services, create a Function 'COLLECTIONS SERVICES' (using the framework in CORPORATE SERVICES or COMMERCIAL SERVICES, depending on the circumstances, as a starting point).

D1 *Collections* means collections of materials that have been generated or acquired by the institution in the course of its teaching or research work, or which have been donated to the institution for these or other purposes.

N1 This function covers the management of the institution's collections. It does NOT cover the management of the business units which are responsible for the collections or of the buildings/facilities where the collections are stored, displayed or made available to researchers.

34.1 Collections Strategy Development

The activities involved in developing and establishing the institution's collections management strategy.

Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
34.1.1	Records documenting the development and establishment of the institution's collections strategy: key records.			Superseded + 5 years	Archive	JISC	

34.1.2	Records documenting the development and establishment of the institution's collections strategy: working papers.			Issue of strategy + 1 year	Destroy	JISC	
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34.2 Collections Management Policy Development

The activities involved in developing and establishing the institution's policies on the management of its collections.

Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
34.2.1	Records documenting the development and establishment of the institution's collections management policies: key records.			Superseded + 5 years	Archive	JISC	
34.2.2	Records documenting the development and establishment of the institution's collections management policies: working papers.			Issue of policy + 1 year	Destroy	JISC	

34.3 Collections Management Procedure Development

The activities involved in developing the institution's procedures for the management of its collections.

Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
34.3.1	Records documenting the development of the institution's procedures relating to collections management.			Issue of procedures + 1 year	Destroy	JISC	
34.3.2	Master copies of procedures relating to collections management.			Superseded + 3 years	Review for archival value	JISC	

Museum documentation should be retained in accordance with the guidance provided in SPECTRUM, the UK standard for documentation in museums.

34.4 Collections Acquisition

The activities involved in acquiring collections.

Activities include: receiving and appraising unsolicited collections, and returning or otherwise disposing of unwanted material; identifying and selecting collections to acquire; formally accepting/acquiring ownership of objects and adding them to collections.

These activities cover SPECTRUM Procedure: Object Entry and SPECTRUM procedure: Acquisition

For drawing up legal agreements and contracts relating to the acquisition of collections, use LEGAL AFFAIRS MANAGEMENT - CONTRACTS & AGREEMENTS.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
34.4.1	Records documenting the receipt, appraisal and acceptance/rejection of objects. SPECTRUM: Object Entry Records			Current year + 10 years	Destroy	JISC	

34.4.2	Records documenting the accessioning of objects into collections. SPECTRUM: Accession Records			Permanent		SPECTRUM	
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34.5 Collections Organisation

The activities involved in organising, classifying and describing collections.

Activities include: creating and maintaining records of the provenance, history and care of objects.

SPECTRUM Procedure: Cataloguing

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
34.5.1	Records documenting information about objects in collections. SPECTRUM: Catalogue Records			Permanent		SPECTRUM	

34.6 Collections Storage

The activities involved in storing collections and in monitoring their location and movement. (D1)

Activities include: devising storage control systems; controlling the location and movement of objects within the institution and between the institution and other organisations.

SPECTRUM Procedure: Location and Movement Control

For developing, maintaining and operating storage premises/facilities for collections (including monitoring environmental conditions), use the relevant sections of ESTATE MANAGEMENT, FACILITIES MANAGEMENT and EQUIPMENT & CONSUMABLES MANAGEMENT.

For establishing and managing contracts with external organisations for storage services, use the relevant categories in PROCUREMENT.

D1 *Storage* means 'the physical housing of all collection, whether on public display or in non-public stores' *Benchmarks in Collection Care for Museums, Archives and Libraries*, Resource: The Council for Museums, Archives and Libraries, 2002.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal	Retention	Notes
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					Action	authority	
34.6.1	Records documenting the location and movement of objects within the institution and between the institution and other organisations. SPECTRUM: Location and Movement Records			Permanent		SPECTRUM	

34.7 Collections Conservation

The activities involved in preserving the physical condition of collections.

Activities include: undertaking condition surveys; applying conservation treatments to preserve, repair or restore the condition of items.
For establishing and managing contracts with external organisations for conservation services, use the relevant categories in PROCUREMENT.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
34.7.1	Records documenting conservation work undertaken on collections.			Life of collections	Destroy	JISC	

34.8 Collections Disposal

The activities involved in disposing of objects by sale, by permanent transfer to other organisations or by destruction due to damage.

SPECTRUM Procedure: Object Exit

For organising physical disposal of materials, use ENVIRONMENTAL MANAGEMENT - WASTE MANAGEMENT.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
34.8.1	Records documenting disposal of objects. SPECTRUM procedure: Object Exit Records			Permanent		SPECTRUM	

34.9 Collections Promotion & Exploitation

The activities involved in promoting the institution's collections and facilitating access to them.

Activities include: developing guides, indexes and other interpretive materials; developing and organising events (e.g. temporary exhibitions, conferences, tours) and activities (e.g. workshops, lectures, demonstrations); assembling special loan collections of items and interpretive materials to support recreational activities and educational programmes; helping people to carry out research using the collections; handling enquiries about collections.

For producing publications, use PUBLISHING - PUBLICATION PRODUCTION.

For organising events, add an Activity 'Event Management' (using COMMON ACTIVITIES - Event Management' as a starting point).

For handling enquiries, add an Activity 'Enquiry Handling' (using COMMON ACTIVITIES - Enquiry Handling as a starting point).

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
34.9.1	Records documenting the development and maintenance of specialised finding aids to promote and facilitate access to collections.			While current	Destroy	JISC	
34.9.2	Records documenting the design and distribution of promotional materials to raise awareness and encourage use of collections.			While current	Destroy	JISC	
34.9.3	Records documenting enquiries about collections and the responses given. <i>Note: key information from substantive enquiries may be extracted and indexed to avoid repetitive research.</i>			Last action on enquiry + 1 year	Destroy	JISC	
34.9.4	Records documenting the selection and use of (items from) collections by institutional staff (e.g. for teaching events, publications, exhibitions).			Current + 5 years	Destroy	JISC	
34.9.5	Records documenting the selection and use of (items			Last action on issue + 5 years	Destroy	JISC	

	from) collections by third parties (e.g. for exhibitions, publications, television programmes).						
34.9.6	Records documenting requests for access to (items in) collections and the responses given.			Last action on request + 1 year	Destroy	JISC	

34.10 Collections Borrowing

The activities involved in borrowing collections from other organisations.

Activities include: requesting loans; negotiating loan agreements; caring for borrowed objects; monitoring loans and fulfilling any agreed conditions of loan; renewing loans; returning borrowed objects.

SPECTRUM Procedure: Loans In

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
34.10.1	Records documenting loans of objects from other organisations. SPECTRUM: Loan Records (Incoming Loans)			Permanent		SPECTRUM	

34.11 Collections Lending

The activities involved in lending collections to other organisations.

Activities include: handling requests for loans; specifying terms and conditions of loans; preparing condition reports on objects before despatch and on return; monitoring loans; renewing loans.

SPECTRUM Procedure: Loans Out

For arranging insurance policies for collections on loan, use INSURANCE MANAGEMENT - INSURANCE POLICY MANAGEMENT.

For handling claims, use INSURANCE POLICY MANAGEMENT - INSURANCE CLAIMS ADMINISTRATION.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
34.11.1	Records documenting loans of objects to other organisations. SPECTRUM: Loan Records (Loans Out)			Return of loaned item + 10 years	Destroy	JISC	

35 Publications Management

The function of managing the institution's collections of *publications* (D1) acquired or assembled to support its work. (N1)

For managing library buildings and other facilities where publications are stored or made available for use (e.g. official libraries), use ESTATE MANAGEMENT and/or FACILITIES MANAGEMENT.

For providing publications-related services, add a Function 'PUBLICATIONS SERVICES' (or 'INFORMATION SERVICES' or 'LIBRARY SERVICES') using the framework in CORPORATE SERVICES or COMMERCIAL SERVICES, depending on the circumstances, as a starting point.

D1 *Publications* means published material in any medium and format including print, electronic and online.

Collections of publications may be open or closed and may be available to staff, students and the public.

N1 This function covers the management of the institution's collections of publications. It does NOT cover the management of the business units which are responsible for the collections or of the buildings/facilities where the collections are stored, displayed or made available to researchers.

35.1 Publications Strategy Development

The activities involved in developing and establishing the institution's publications strategy.

Activities include: identifying requirements for new / revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
35.1.1	Records documenting the development and establishment of the institution's publications strategy: key records.		LCSS-LR	Superseded + 5 years	Archive	JISC	
35.1.2	Records documenting the development and establishment of the institution's publications strategy: working papers.		LCSS-LR	Issue of strategy + 1 year	Destroy	JISC	

35.2 Publications Management Policy Development

The activities involved in developing and establishing the institution's policies on the management of publications.

Activities include: identifying requirements for new / revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
35.2.1	Records documenting the development and establishment of the institution's publications management policies: key records.	Collections Management policy	LCSS-LR	Superseded + 5 years	Archive	JISC	

35.2.2	Records documenting the development and establishment of the institution's publications management policies: working papers.		LCSS-LR	Issue of policy + 1 year	Destroy	JISC	
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35.3 Publications Management Procedures Development

The activities involved in developing the institution's procedures for the management of publications.

Activities include: identifying needs for new / revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
35.3.1	Records documenting the development of the institution's procedures relating to publications management.		LCSS-LR	Issue of procedures + 1 year	Destroy	JISC	
35.3.2	Master copies of procedures relating to publications management.		LCSS-LR	Superseded + 3 years	Review for archival value	JISC	

35.4 Publications Acquisition

The activities involved in acquiring publications.

Activities include: identifying and selecting publications to purchase.

For purchasing publications, use the relevant section of PROCUREMENT.

For processing financial transactions associated with purchasing publications, use FINANCE MANAGEMENT - FINANCIAL ACCOUNTING

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal	Retention	Notes
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					Action	authority	
35.4.1	Records documenting the process of selecting publications to purchase.		LCSS-LR	Completion of purchase	Destroy	JISC	
35.4.2	Records documenting decisions to (dis)continue purchase of publications.		LCSS-LR	Last action on issue + 1 year	Destroy	JISC	

35.5 Publications Organisation

The activities involved in organising, classifying and cataloguing publications.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
35.5.1	Records documenting the institution's scheme(s) for classifying and cataloguing publications.		LCSS-LR	Until all catalogues based on the scheme are superseded	Destroy	JISC	
35.5.2	Catalogues/indexes		LCSS-LR	Superseded	Destroy	JISC	

35.6 Publications Storage & Handling

The activities associated with storing publications and ensuring proper handling while in transit to and from storage.

Activities include: determining appropriate storage conditions for publications; devising storage control systems.

For developing, maintaining and operating storage premises/facilities for storing publications (including monitoring environmental conditions), use the relevant sections of ESTATE MANAGEMENT, FACILITIES MANAGEMENT and EQUIPMENT MANAGEMENT.

For establishing and managing contracts with commercial companies providing storage services, use the relevant categories in PROCUREMENT.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
35.6.1	Records documenting the movement of items from/to storage.	Store request forms	LCSS-LR	Return of items + 1 year	Destroy	JISC	

35.7 Publications Disposal

The activities involved in disposing of redundant publications.

For donating redundant publications to other organisations (e.g. charities), use PUBLIC RELATIONS - DONATIONS.

For organising physical disposal of materials, use ENVIRONMENTAL MANAGEMENT - WASTE MANAGEMENT.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
35.7.1	Records documenting the authorisation for the disposal of redundant publications.		LCSS-LR	Disposal of publications + 1 year	Destroy	JISC	

35.8 Copyright Compliance Administration

The activities involved in administering the institution's compliance with legislation on copyright. (N1)

Activities include: obtaining licences to use materials in which the copyright is not owned by the institution; monitoring use of such materials within the institution; participating in surveys undertaken by copyright licensing organisations; assisting with inspections undertaken by copyright licensing organisations; administering payments to copyright licensing organisations.

For obtaining and maintaining computer software licences, use ICT SYSTEMS MANAGEMENT – ICT SYSTEMS OPERATIONS MANAGEMENT.

N1 In the UK, the relevant legislation is the Copyright, Designs and Patents Act 1988.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
35.8.1	Records documenting applications for permission to copy from published works which are not covered by Copyright Licensing agency licences, where permission is not granted.	Summary of negotiations with copyright holders	LCSS-LR	Last action on application + 1 year	Destroy	JISC	

35.8.2	Records documenting applications for permission to copy from published works which are not covered by Copyright Licensing agency licences, where permission is granted.	Summary of negotiations with copyright holders	LCSS-LR	Period for which permission is granted + 6 years	Destroy	1980 c.58 s5	
35.8.3	Records documenting the compilation of statistical and other data required by the Copyright Licensing Agency, and the submission of this data to the Agency.	Scanning licence statistics	LCSS-LR	Current year + 1 year	Destroy	JISC	
35.8.4	Records documenting the institution's participation in surveys / audits undertaken by the Copyright Licensing Agency		LCSS-LR	Completion of survey / audit	Destroy	JISC	
35.8.5	Records documenting the results of surveys / audits undertaken by the Copyright Licensing Agency (provided to the Institution by the Agency).		LCSS-LR	Current year + 5 years	Destroy	JISC	
35.8.6	Records documenting the institution's participation in inspections undertaken by copyright owners or their representative to check the institution's compliance with legal / contractual requirements.		LCSS-LR	Last action on case + 1 year	Destroy	JISC	

35.8.7	Records documenting subscription and renewal of subscriptions to copyright licences and related correspondence.	Approved signed copyright licences; Agreement of electronic material and databases	LCSS-LR	Superseded + 6 years	Destroy	JISC v2	
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36 Intellectual Property Rights (IPR) Management

The function of managing the institution's *intellectual property* (D1) rights.

For exploiting the commercial value of the institution's intellectual property rights, use INTELLECTUAL PROPERTY RIGHTS (IPR) EXPLOITATION.

D1 *Intellectual property* means: patents; trademarks; designs; copyright.

36.1 IPR Strategy

The activities involved in developing and establishing the institution's IPR strategy.

Activities include: identifying requirements for new / revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
36.1.1	Records documenting the development and establishment of the institution's IPR strategy: key records.		LCSS-LR	Superseded + 5 years	Archive	JISC	
36.1.2	Records documenting the development and establishment of the institution's IPR strategy: working papers.		LCSS-LR	Issue of strategy + 1 year	Destroy	JISC	

36.2 IPR Management Policy Development

The activities involved in developing and establishing the institution's policies on IPR.

Activities include: identifying requirements for new / revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
36.2.1	Records documenting the development and establishment of the institution's IPR management policies: key records.		LCSS-LR	Superseded + 5 years	Archive	JISC	
36.2.2	Records documenting the development and establishment of the institution's IPR management policies: working papers.		LCSS-LR	Issue of policy + 1 year	Destroy	JISC	

36.3 IPR Management Procedures Development

The activities involved in developing the institution's procedures for managing IPR.

Activities include: identifying needs for new / revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
36.3.1	Records documenting the development of the institution's procedures relating to IPR management.		LCSS-LR	Issue of procedures + 1 year	Destroy	JISC	
36.3.2	Master copies of procedures		LCSS-LR	Superseded + 3	Review for	JISC	

	relating to IPR management.			years	archival value		
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36.4 IPR Protection

The activities involved in protecting the institution's IPR.

Activities include: applying for formal protection for intellectual property (i.e. granting of patents, registration of designs and trade marks); amending, cancelling or renewing existing protection; enforcing protection.

For engaging intellectual property attorneys, use the relevant categories in PROCUREMENT.

For processing financial transactions associated with protecting intellectual property (e.g. fees payable to The (UK) Patent Office), use FINANCE MANAGEMENT – FINANCIAL ACCOUNTING.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
36.4.1	Records documenting the institution's applications for patents and patent certificates.		LCSS-LR	Life of patent + 50 years	Archive	Legal opinion	
36.4.2	Records documenting the institution's applications for other forms of IPR protection (registered trade marks, registered designs) and certificates of registration		LCSS-LR	End of registration + 6 years	Review for archival value	1980 c. 58 s 5	
36.4.3	Records documenting applications for renewal of IPR protection, up to the maximum period permitted.		LCSS-LR	Life of patent/End of registration	Destroy	JISC	
36.4.4	Records documenting routine monitoring of third party activity to detect infringements of the institution's IPR.		LCSS-LR	Current year + 5 years	Destroy	JISC	
36.4.5	Records documenting		LCSS-LR	Last action on case +	Destroy	1980 c. 58 s	

	identified infringements of the institution's IPR, and action taken other than litigation.			6 years		5	
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37 Information and Communications Technology (ICT) Systems Management

The function of managing the institution's information and communications technology (ICT) systems. (N1)

For providing support services for users of the institution's ICT systems, add a Function 'ICT SUPPORT SERVICES' using the framework provided in CORPORATE SERVICES as a starting point.

N1 This function is intended to cover all ICT systems in the institution, regardless of which business units are involved in developing, operating or using the systems.

37.1 ICT Systems Strategy Development

The activities involved in developing and establishing the institution's ICT systems strategy.

Activities include: identifying requirements for new / revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
37.1.1	Records documenting the development and establishment of the institution's ICT systems strategy: key records.	Information Systems Strategy and Planning Framework	LCSS-IS	Superseded + 5 years	Archive	JISC	

37.1.2	Records documenting the development and establishment of the institution's ICT systems strategy: working papers.		LCSS-IS	Issue of strategy + 1 year	Destroy	JISC	
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37.2 ICT Systems Management Policy Development

The activities involved in developing and establishing the institution's policies on ICT systems.

Activities include: identifying requirements for new / revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
37.2.1	Records documenting the development and establishment of the institution's ICT systems management policies: key records.		LCSS-IS	Superseded + 5 years	Archive	JISC	
37.2.2	Records documenting the development and establishment of the institution's ICT systems management policies: working papers.		LCSS-IS	Issue of policy + 1 year	Destroy	JISC	

37.3 ICT Systems Management Procedures Development

The activities involved in developing the institution's procedures for managing ICT systems.

Activities include: identifying needs for new / revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials;

submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
37.3.1	Records documenting the development of the institution's procedures relating to the management of ICT systems.		LCSS-IS	Issue of procedures + 1 year	Destroy	JISC	
37.3.2	Master copies of procedures relating to the management of ICT systems.		LCSS-IS	Superseded + 3 years	Review for archival value	JISC	

37.4 ICT Systems Development

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

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

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
37.4.1	Records documenting the initial development and post-implementation modification and maintenance of ICT systems.	Installation and configuration of hardware; Installation and configuration of software; Change control documents	LCSS-IS or Lead Department	Decommissioning of system + 5 years	Destroy	JISC	
37.4.2	Records documenting the initial development of ICT systems which are not implemented.		LCSS-IS or Lead Department	Last action on development + 5 years	Destroy	JISC	

37.4.3	Records documenting the management of ICT systems development projects (i.e. project management records).	IS Project proposal forms, Project Business Plans, Project management minutes, Project update reports, Project status reports, Operational documents, Statement of User Requirements	LCSS-IS or Lead Department	Termination of project + 5 years	Destroy	JISC	
37.4.4	Records documenting the development of procedures for information systems	Specification document, Development standards, User guides, System guides, Installation guides. Procedures.	LCSS-IS or Lead Department	Decommissioning of system + 5 years	Destroy	Internal Guidance	

37.5 ICT Systems Operations Management

The activities involved in operating ICT systems.

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

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
37.5.1	Records documenting the routine monitoring and testing of the operation of ICT systems, and action taken to rectify problems and optimise performance.		LCSS-IS or Lead Department	Current year + 1 year	Destroy	JISC	

37.5.2	Records documenting faults reported by users of ICT systems, and action taken to investigate and resolve the problem.		LCSS-IS or Lead Department	Last action on fault + 1 year	Destroy	JISC	
37.5.3	Records documenting the management of system data storage, including the operation of routine data backup, archiving and deletion routines.	Operational procedures; Server maintenance log sheets; Back up of server reports; Log sheets of daily back-ups Register of location of back-up tapes	LCSS-IS	Current year + 1 year	Destroy	JISC	
37.5.4	Records documenting user requests to recover data from backup or archive stores, and action taken.		LCSS-IS	Last action on request + 3 months	Destroy	JISC	
37.5.5	Records documenting the maintenance of appropriate software licences for live ICT systems.	License agreements	LCSS-IS	Issue of new licence	Destroy	JISC	
37.5.6	Records documenting the maintenance of installed PCs, servers and printers.	Maintenance contracts; Maintenance reports	LCSS-IS	Disposal of equipment + 1 year	Destroy	Internal Guidance	

37.6 ICT Systems Security Management

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

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

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
37.6.1	Records documenting the security arrangements for ICT systems.		LCSS-IS	Decommissioning of system + 5 years	Destroy	JISC	
37.6.2	Records documenting the opening, maintenance and closure of user accounts for ICT systems.	New starter accounts records, Changes to accounts, Removal of accounts and associated documents; SSAA logs Maintenance of accounts	LCSS-IS	Closure of account + 1 year	Destroy	JISC	
37.6.3	Records documenting routine monitoring of the use of ICT systems to ensure compliance with legal requirements and institutional policies.	Internet and e-mail logs; Logging in/out logs	LCSS-IS	Current year + 1 year	Destroy	JISC	
37.6.4	Records documenting attempted or actual security breaches of the institution's ICT systems, and action taken.		LCSS-IS	Last action on incident + 1 year	Destroy	JISC	
37.6.5	Requests for, and authorisation of, connections of third party equipment to the institution's networks, either on institutional premises or via dial-up communications links.	Network request forms	LCSS-IS	Termination of connection + 1 year	Destroy	JISC	

37.6.6	Records documenting the removal / return of mobile ICT systems hardware and software from / to the institution's premises.		LCSS-IS/LCSS-LR	Return of equipment + 3 months	Destroy	JISC		
37.6.7	Records documenting arrangements for the sanitisation of institutional ICT equipment prior to disposal.		Estates and Facilities	Disposal of equipment + 2 years	Destroy	NA		
37.6.8	Records documenting the networking of ICT systems	Network configuration records; Central mail relay system; Internet Domain Name System records; Cabling routing data; Call logger	LCSS-IS	Whilst current	Destroy	Internal Guidance		

37.7 ICT Systems Training and User Support

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

Activities include: identifying training requirements; identifying and evaluating training options, providing user support.

For external training, activities include: identifying and evaluating training programmes; organising attendance at training events; evaluating training programmes/events.

For internal training, activities include: developing training programmes; organising and arranging training events; delivering training; evaluating training programmes/events.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
37.7.1	Records documenting the development of technical and application training for ICT system users.	Training programmes; Course material;	LCSS-IS or Lead Department	Decommission or business function defunct + 5 years	Destroy	Internal Guidance	
37.7.2	Records documenting the delivery of technical and application training for ICT system users.	Details of delegates, Registers of attendance, Evaluation forms	LCSS-IS or Lead Department	Termination of employment contract + 5 years Current year + 3 years	Destroy	Internal Guidance	
37.7.3	Records documenting user requests for technical and application support, and assistance provided.	Customer Services records	ISeLS	Last action on request + 1 year	Destroy	NA	

37.8 Web site Development

The activities involved in managing the Web site (Internet and Intranet) and in monitoring its use. Retention of Web site content should be placed under the appropriate function and activity that it relates to.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
37.8.1	Records documenting the maintenance and management of the University web site		Marketing and Student Recruitment/LCSS-IS	While Current	Destroy	Internal Guidance	
37.8.2	Records documenting the monitoring of the University web site		Marketing and Student Recruitment/LCSS-IS	Current year + 3 years	Destroy	Internal Guidance	

38 Equipment and Consumables Management

The function of managing *equipment* (D1) and *consumables* (D2) which are owned by the institution, or which the institution has legal rights to use.

D1 *Equipment* includes: instruments; tools; machines; plant; vehicles; interior fixtures and fittings; furniture and furnishings; personal protective equipment; kitchen and catering equipment; laboratory equipment.

D2 *Consumables* includes: office supplies; janitorial supplies; decorating materials; cleaning materials; medical and first aid supplies; food; uniforms and protective clothing.

38.1 Equipment & Consumables Strategy Development

The activities involved in developing and establishing the institution's equipment and consumables strategy.

Activities include: identifying requirements for new / revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
38.1.1	Records documenting the development and establishment of the institution's equipment and consumables strategy: key records.			Superseded + 5 years	Archive	JISC	
38.1.2	Records documenting the development and establishment of the institution's equipment and consumables strategy: working papers.			Issue of strategy + 1 year	Destroy	JISC	

38.2 Equipment & Consumables Management Policy Development

The activities involved in developing and establishing the institution's policies on equipment and consumables.

Activities include: identifying requirements for new / revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
38.2.1	Records documenting the development and establishment of the institution's equipment and consumables management policies: key records.			Superseded + 5 years	Archive	JISC	
38.2.2	Records documenting the development and establishment of the institution's equipment and consumables management policies: working papers.			Issue of policy + 1 year	Destroy	JISC	

38.3 Equipment & Consumables Management Procedures Development

The activities involved in developing the institution's procedures for managing equipment and consumables.

Activities include: identifying needs for new / revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
38.3.1	Records documenting the development of the institution's procedures relating to the management of equipment and consumables.			Issue of procedures + 1 year	Destroy	JISC	
38.3.2	Master copies of procedures relating to the management of equipment and consumables.			Superseded + 3 years	Review for archival value	JISC	

38.4 Equipment & Consumables Selection

The activities involved in selecting equipment and consumables.

Activities include: developing specifications of requirements; identifying sources of supply; evaluating and selecting items.

For acquiring equipment and consumables through purchase, lease or hire, use the relevant categories in PROCUREMENT.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
38.4.1	Records documenting the development of specifications for, and the selection of, equipment/consumables: major items.		Departments/ Faculties	Life of item + 6 years	Destroy	1980 c.58	

38.4.2	Records documenting the development of specifications for, and the selection of, equipment/consumables: items which are safety critical or associated with hazardous operations.		Departments/ Faculties	Life of item + 40 years	Destroy	JISC	Retaining these records for a long period is in line with requirements/ recommendations for retention of Health & Safety records
38.4.3	Records documenting the development of specifications for, and the selection of, equipment/consumables: other items.		Departments/ Faculties	Life of item	Destroy	JISC	

38.5 Equipment & Consumables Storage

The activities involved in storing equipment and consumables.

Activities include: monitoring storage conditions to ensure compliance with technical standards and/or legislation; monitoring the condition of items held in storage; maintaining the stock inventory; monitoring and maintaining stock levels; controlling the allocation/issue of items from storage.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
38.5.1	Records documenting the monitoring of the condition of stored equipment/consumables.		Departments/ Faculties	Current year + 1 year	Destroy	JISC	
38.5.2	Records documenting the stock inventory for equipment / consumables.		Departments/ Faculties	Superseded	Destroy	JISC	
38.5.3	Records documenting routine stocktaking and stock checking.		Departments/ Faculties	Current year + 1 year	Destroy	JISC	
38.5.4	Records documenting the		Departments/	Current year + 1 year	Destroy	JISC	

	movement of stock into and from storage.		Faculties				
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38.6 Equipment Installation / Commissioning

The activities involved in installing/commissioning equipment.

Activities include: conducting pre-commissioning inspections/examinations/tests; conducting post-installation inspections/examinations/tests to ensure compliance with technical standards and/or legal requirements.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
38.6.1	Records documenting the installation of equipment/consumables: major items.		Departments/ Faculties	Decommissioning / removal + 6 years	Destroy	1980 c.58 s 5	
38.6.2	Records documenting the installation of equipment/consumables: items which are safety critical or associated with hazardous operations.		Departments/ Faculties	Decommissioning / removal + 40 years	Destroy	JISC	Potential long-term liability
38.6.3	Records documenting the installation of equipment/consumables: other items.		Departments/ Faculties	Decommissioning / removal	Destroy	JISC	
38.6.4	Health and Safety File for fixed plant which is a 'structure' as defined in Regulation 2 of the Construction (Design and Management) Regulations 1994.		Departments/ Faculties?	Decommissioning/ removal of plant		S.I. 1994/3140 Regulation 12	SI 1994/3140 does not prescribe a retention period for these records but implies that the Health and Safety File for a structure should be retained for the life of the structure. A Health and Safety File is transferred to the new owner when a structure is sold.
38.6.5	Reports of pre-		Departments/	Decommissioning	Destroy	S.I. 1998/2317	

	commissioning examinations of lifting equipment, as required by Regulation 9(1) and 9(2) of the Lifting Operations and Lifting Equipment Regulations 1998.		Faculties?			Regulation 11(2)(a)(i) and 11(2)(a)(iii)	
38.6.6	Reports of pre-commissioning examinations of accessories for lifting, as required Regulation 9(1) of the Lifting Operations and Lifting Equipment Regulations 1998.		Departments/ Faculties?	Date of report + 2 years	Destroy	S.I. 1998/2307 Regulation 11(2)(a)(ii)	

38.7 Equipment, Inspection, Testing and Maintenance

The activities involved in maintaining the institution's equipment in sound working order to ensure compliance with legislation, technical standards etc.

Activities include: conducting inspections and tests at planned or required intervals; undertaking planned preventive maintenance; repairing or modifying equipment in response to reported problems.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
38.7.1	Records documenting the inspection, testing and maintenance of equipment/consumables, except as specified elsewhere.		Departments/ Faculties	Disposal of item + 1 year	Destroy	JISC	

38.7.2	Records documenting the inspection, testing and maintenance of equipment/consumables: major items other than those specified elsewhere.		Departments/ Faculties	Decommissioning/ Removal + 6 years	Destroy	1980 c.58 s 5	
38.7.3	Records documenting the inspection, testing and maintenance of equipment/consumables: items which are safety critical or are associated with hazardous operations.		Departments/ Faculties	Decommissioning/ Disposal + 15 years	Destroy	1980 c.58 s 14	S.I. 1997/1840 Regulation 6 requires the maintenance of fire detection and fire-fighting equipment but does not prescribe a retention period for retention of records in relation to this. Retaining a maintenance history provides evidence of compliance and effective management of health and safety over time.
38.7.4	Records documenting the examination, testing and repair of plant and equipment provided to control exposure to substances hazardous to health, as required by Regulation 9 of the Control of Substances Hazardous to Health Regulations 2002.		Departments/ Faculties	Date of examination/test/ repair + 5 years	Destroy	S.I. 2002/2677 Regulation 9(4)	
38.7.5	Records documenting the examination, testing and repair of plant and equipment provided to control exposure to asbestos, as required by Regulation 13 of the Control of Asbestos Regulations 2006.		Departments/ Faculties	Date of examination/test/ repair + 5 years	Destroy	S.I. 2006/2739 Regulation 13(3)	

38.7.6	Reports of inspection and 'thorough examination' of lifting equipment, as required by Regulation 9 of the Lifting Operations and Lifting Equipment Regulations 1998.		Departments/ Faculties	Date of subsequent report OR Date of report + 2 years, whichever is the later	Destroy	S.I. 1998/2307 Regulation 11(2)(a)(iv)	
38.7.7	Maintenance logs for equipment		Departments/ Faculties	Life of equipment + 6 years	Destroy	SI 1998/2306 Regulation 5(2) 1980 c. 58 s 5	
38.7.8	Records documenting inspections of equipment, made under Regulation 6 of the Provision and Use of Work Equipment Regulations 1998 (SI 1998/2306).		Departments/ Faculties	Completion of subsequent inspection	Destroy	SI 1998/2306 Regulation 6(3)	

38.8 Equipment & Consumables Disposal

The activities involved in *disposing* (D1) of surplus or redundant equipment and consumables.

Activities include: authorising disposal; identifying and evaluating alternative methods of disposal; undertaking cleaning/sanitisation of equipment and consumables prior to disposal; providing any necessary certification (e.g. of safety) or documentation (e.g. maintenance history) to recipients of sold or donated equipment and consumables; where appropriate (e.g. for vehicles), administering transfer of ownership of equipment and consumables and retaining necessary documentation.

For writing-off surplus or redundant equipment, use FINANCE MANAGEMENT – Asset Management.

For managing the process of donating equipment and consumables to external organisations, use PUBLIC RELATIONS MANAGEMENT – DONATIONS.

For processing financial transactions associated with the sale of equipment and consumables, use FINANCE MANAGEMENT - FINANCIAL ACCOUNTING.

For destroying redundant equipment or consumables, use ENVIRONMENTAL MANAGEMENT - WASTE MANAGEMENT.

D1 *Disposing* means physically removing from the institution's premises for return to the owner, donation to another organisation, sale or destruction.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
38.8.1	Records documenting authorisation for the disposal of equipment / consumables, and the evaluation of alternative methods of disposal.		Departments/ Faculties	Disposal of item + 1 year	Destroy	JISC	
38.8.2	Records documenting the cleaning / sanitisation of equipment / consumables prior to disposal: items used in connection with operations involving substances hazardous to health.		Departments/ Faculties	Disposal of item + 15 years	Destroy	1980 c.58 s 14	
38.8.3	Records documenting the cleaning / sanitisation of equipment / consumables prior to disposal: other items.		Departments/ Faculties	Disposal if item + 6 year	Destroy	1980 c. 58 s 5	
38.8.4	Records documenting the transfer of ownership of equipment / consumables.		Departments/ Faculties	Disposal of item + 1 year	Destroy	JISC	

39 Insurance Management

The function of assessing the institution's liabilities and insurance needs and maintaining adequate insurance cover.

39.1 Insurance Strategy Development

The activities involved in developing and establishing the institution's insurance strategy.

Activities include: identifying requirements for new / revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
39.1.1	Records documenting the development and establishment of the institution's insurance strategy: key records.		Estates and Facilities	Superseded + 5 years	Archive	JISC	
39.1.2	Records documenting the development and establishment of the institution's insurance strategy: working papers.		Estates and Facilities	Issue of strategy + 1 year	Destroy	JISC	

39.2 Insurance Management Policy Development

The activities involved in developing and establishing the institution's policies on insurance.

Activities include: identifying requirements for new / revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
39.2.1	Records documenting the development and establishment of the institution's insurance management policies: key records.		Estates and Facilities	Superseded + 5 years	Archive	JISC	

39.2.2	Records documenting the development and establishment of the institution's insurance management policies: working papers.		Estates and Facilities	Issue of policy + 1 year	Destroy	JISC	
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39.3 Insurance Management Procedures Development

The activities involved in developing the institution's procedures for insurance.

Activities include: identifying needs for new / revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
39.3.1	Records documenting the development of the institution's procedures relating to the management of insurance cover and claims.		Estates and Facilities	Issue of procedures + 1 year	Destroy	JISC	
39.3.2	Master copies of procedures relating to the management of insurance cover and claims.		Estates and Facilities	Superseded + 3 years	Review for archival value	JISC	

39.4 Insurance Policy Management

The activities involved in establishing and maintaining insurance policies.

Activities include: selecting, reviewing, renewing, amending and terminating insurance policies; liaising with insurers. For paying insurance brokers' fees, use FINANCE MANAGEMENT - FINANCIAL ACCOUNTING. For paying insurance premiums, use FINANCE MANAGEMENT - FINANCIAL ACCOUNTING.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
39.4.1	Records documenting the arrangement and renewal of insurance policies: employers' liability insurance. See also Employers' Liability Insurance Certificates.		Estates and Facilities?	Expiry of policy + 6 years	Destroy	1980 c.58 s 5	
39.4.2	Employers' Liability Insurance Certificates		Estates and Facilities?	Commencement/ Renewal of policy + 40 years	Destroy	S.I. 1998/2573 Regulation 4(4)	
39.4.3	Records documenting the arrangement and renewal of insurance policies: all other insurance.		Departments/ Faculties	Expiry of policy + 6 years		1980 c.58 s 5	

39.5 Insurance Claim Administration

The activities involved in administering the review and settlement of claims against insurance policies.

Activities include: reviewing claims; liaising with insurers and claimants.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
39.5.1	Records documenting claims, and the outcomes of claims, made under insurance policies.		Estates and Facilities?	Settlement of claim + 6 years	Destroy	1980 c.58 s 5	

40 Procurement

The function of purchasing goods, works and services from external organisations. (N1)

For acquiring ownership of land and buildings, use ESTATE MANAGEMENT - ACQUISITION.

For acquisition of goods by donation, use PUBLIC RELATIONS MANAGEMENT - DONATIONS.

This function is intended to cover purchasing of all types of goods, works and services by the institution, regardless of the type/quantity being purchased, the purchasing method or the business unit responsible.

40.1 Procurement Strategy Development

The activities involved in developing and establishing the institution's procurement strategy.

Activities include: identifying requirements for new / revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
40.1.1	Records documenting the development and establishment of the institution's procurement strategy: key records.		Finance	Superseded + 5 years	Archive	JISC	
40.1.2	Records documenting the development and establishment of the institution's procurement strategy: working papers.		Finance	Issue of strategy + 1 year	Destroy	JISC	

40.2 Procurement Policy Development

The activities involved in developing and establishing the institution's policies on procurement.

Activities include: identifying requirements for new / revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
40.2.1	Records documenting the development and establishment of the institution's procurement policies: key records.		Finance	Superseded + 5 years	Archive	JISC	
40.2.2	Records documenting the development and establishment of the institution's procurement policies: working papers.		Finance	Issue of policy + 1 year	Destroy	JISC	

40.3 Procurement Procedures Development

The activities involved in developing the institution's procedures for procurement.

Activities include: identifying needs for new / revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
40.3.1	Records documenting the development of the institution's procedures relating to the management of procurement.		Finance	Issue of procedures + 1 year	Destroy	JISC	
40.3.2	Master copies of procedures relating to the management of procurement.		Finance	Superseded + 3 years	Review for archival value	JISC	

40.4 Supplier Approval

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

Activities include: issuing invitations to apply for approval; evaluating applications for approval; notifying applicants of evaluation outcomes.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
40.4.1	Records documenting supplier evaluation criteria.		Finance	Superseded + 5 years	Destroy	JISC	
40.4.2	Records documenting invitations to prospective suppliers to apply for approval.		Finance	Expiry of invitation OR Rejection of application + 6 months OR Completion of approval	Destroy	JISC	
40.4.3	Records documenting the evaluation of applications for approval from prospective suppliers, and notification of the outcome : approved suppliers.		Finance	Termination of approval	Destroy	JISC	
40.4.4	Records documenting the evaluation of applications for approval from prospective suppliers, and notification of the outcome : rejected suppliers.		Finance	Rejection + 1 year	Destroy	JISC	
40.4.5	Supplier database.		Finance	While current	Destroy	JISC	

40.5 Contract Tendering

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

Activities include: preparing Invitations to Tender (ITT); defining tender evaluation and selection criteria; issuing ITTs; controlling the receipt and opening of tenders; evaluating tenders; negotiating and awarding contracts; reporting and publishing information about contracts awarded, where this is required by legislation

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal	Retention	Notes
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					Action	authority	
40.5.1	Records documenting the process of inviting and evaluating pre-qualification submissions from prospective suppliers.		Finance	Award of supply contract + 1 year	Destroy	JISC	
40.5.2	Records documenting Invitations to Tender and tender evaluation criteria.	Invitation to tender, Selection of suppliers, Evaluation of suppliers criteria	Finance	Termination of supply contract awarded + 6 years	Destroy	1980 c.58 S.I. 19991/2680 S.I. 1993/3228 S.I. 1995/201	
40.5.3	Records documenting the issue of Invitations to Tender and handling of incoming tenders.		Finance	Award of supply contract + 1 year	Destroy	JISC	
40.5.4	Records documenting the evaluation of tenders, the conduct of negotiations with tenderers and the notification of the results of the tender evaluation process: rejected tenders.	Unsuccessful tender documents; evaluation of tenders	Finance	Award of supply contract + 1 year	Destroy	JISC	
40.5.5	Records documenting the evaluation of tenders, the conduct of negotiations with tenderers and the notification of the results of the tender evaluation process: accepted tenders.	Successful tender documents; evaluation of suppliers, Contract	Finance	Termination of supply contract awarded + 6 years	Destroy	1980 c.58 s. 5	

40.5.6	Contract award notices sent to the Official Journal, as required by Regulation 31 of the Public Contracts Regulations 2006 (SI 2006/5)		Finance	Termination of supply contract awarded + 6 years	Destroy	1980 c. 58 s 5	SI 2006/5 does not prescribe a retention period for these records. SSI 2006/1 does not prescribe a retention period for these records.
40.5.7	Records documenting contracts awarded, containing the information specified in Regulation 32 (14) of the Public Contracts Regulations 2006 (SI 2006/5)		Finance	Termination of contract + 10 years	Destroy	1980 c. 58 s 5	SI 2006/5 does not prescribe a retention period for these records. SSI 2006/1 does not prescribe a retention period for these records. These are summary records of each contract awarded and retention of these for a longer period than the complete contract 'files' provides evidence of effective and compliant procurement practice over time.
40.5.8	Statistical and other reports on contracts awarded prepared for the Office of Government Commerce, as required by Regulation 40 of the Public Contracts Regulations 2006 (SI 2006/5)		Finance	Current year + 3 years		JISC	SI 2006/5 does not prescribe a retention period for these records. SSI 2006/1 does not prescribe a retention period for these records.

40.6 Purchasing

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

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

For drawing up legal contracts and agreements for purchase and supply of goods or services, use LEGAL AFFAIRS MANAGEMENT - CONTRACTS AGREEMENTS.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal	Retention	Notes
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					Action	authority	
40.6.1	Records documenting purchasing authorisation limits.		Finance	Superseded + 1 year	Destroy	JISC	
40.6.2	Records documenting internal authorisation for procurement.		Finance/ Departments	Current financial year + 1 year	Destroy	JISC	
40.6.3	Purchase Orders	Purchase requisition forms; Purchase finance request forms; Purchase orders	Finance	Current financial year + 6 years	Destroy	1980 c. 58 s 5 HMRC 700/21 para. 5.2	
40.6.4	Goods Received Notes / Goods Inwards Notes	Delivery notes	Departments/ Faculties	Current financial year + 6 years	Destroy	1980 c. 58 s 5 HMRC 700/21 para. 5.2	

40.7 Contract Management

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

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

For payment of suppliers' invoices, use FINANCE MANAGEMENT - FINANCIAL ACCOUNTING.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
40.7.1	Records documenting variations to contracts (e.g. revisions, extensions).		Finance	Termination of contract + 6 years	Destroy	1980 c. 58 s 5	

40.7.2	Records documenting the monitoring of supplier performance and action taken regarding under-performance.		Finance	Termination of contract + 6 years	Destroy	1980 c. 58 s 5	
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41 Publishing

The function of publishing materials for internal or external distribution. (N1)

N1 This function is intended to cover all publishing undertaken by the institution, regardless of the medium or format of the publication.

41.1 Publishing Strategy

The activities involved in developing and establishing the institution's publishing strategy.

Activities include: identifying requirements for new / revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
41.1.1	Records documenting the development and establishment of the institution's publishing strategy.		Marketing and Student Recruitment	Superseded + 5 years	Archive	JISC	
41.1.2	Records documenting the development and establishment of the institution's publishing strategy: working papers.		Marketing and Student Recruitment	Issue of strategy + 1 year	Destroy	JISC	

41.2 Publishing Policy

The activities involved in developing and establishing the institution's policies on publishing.

Activities include: identifying requirements for new / revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
41.2.1	Records documenting the development and establishment of the institution's publishing policies.		Marketing and Student Recruitment	Superseded + 5 years	Archive	JISC	
41.2.2	Records documenting the development and establishment of the institution's publishing policies: working papers.		Marketing and Student Recruitment	Issue of policy + 1 year	Destroy	JISC	

41.3 Publishing Procedures

The activities involved in developing the institution's procedures for publishing.

Activities include: identifying needs for new / revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
41.3.1	Records documenting the development of the institution's procedures relating to the management of publishing.		Marketing and Student Recruitment	Issue of procedures + 1 year	Destroy	JISC	
41.3.2	Records documenting the development of the institution's publishing procedures.		Marketing and Student Recruitment	Superseded + 3 years	Review for archival value	JISC	

41.4 Publication Production

The activities involved in producing *publications* (D1).

Activities include: planning and preparing content (commissioning, research, writing, editing) for publication; designing publications; producing publications.

For procurement of external services to design, produce or store publications, use the relevant categories in PROCUREMENT.

For storage and management of stocks of publications, use the relevant categories in EQUIPMENT & CONSUMABLES MANAGEMENT.

D1 *Publications* can be in any medium and format, including print, audio-visual, web pages and online information services.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
41.4.1	Records documenting the design, commissioning, editing and production of publications.	Design briefs Proofs	Marketing and Student Recruitment	Issue of publication + 2 years	Destroy	Internal Guidance	
41.4.2	Final versions of publications	e.g. Prospectuses Glamorgan Talent Bulletin Annual Report Learning and Development Newsletter	Departments/ Faculties responsible for the publication	2 copies sent to archive immediately on publication Others - Issue of publication + 2 years	Archive Destroy	Internal Guidance Internal Guidance	

		Estates News Euroline Connect Research Matters Preceptorship News Any other publications					
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41.5 Publication Distribution

The activities involved in distributing publications internally or externally.

For establishing and managing contracts with external organisations for stockholding and distribution of publications, use the relevant categories in PROCUREMENT.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
41.5.1	Records documenting the distribution of publications.			Current year + 1 year	Destroy	JISC	

41.6 Publication Marketing

The activities involved in marketing publications.

Activities include: organising review of publications in appropriate journals; producing and distributing marketing materials.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
41.6.1	Records documenting the development of marketing plans for publications.	Marketing briefs, Marketing plans	Marketing and Student Recruitment	Life of publication	Destroy	JISC	

42 Management Information Collection, Analysis and Reporting

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

For submission of statistical and other data and reports to HE regulatory bodies, use HE/FE SECTOR RELATIONS MANAGEMENT - HE/FE SECTOR REPORTING.

42.1 Management Information Collection

The activities involved in collecting and maintaining management information.

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

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
42.1.1	Dataset specifications and protocols for submission and collation of data.		Departments/ Faculties	Superseded	Review for archival value	JISC	If datasets are archived, dataset specifications and protocols should be archived with them.

42.2 Management Information Analysis & Reporting

The activities involved in analysing management information and producing reports.

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

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
42.2.1	Management information reports		Departments/ Faculties	Current year + 3 years	Review for archival value	JISC	

CORPORATE RELATIONS

43 Public Relations Management

The function of raising and maintaining the institution's public profile, and of managing its relationships with the public.

43.1 Public Relations Strategy Development

The activities involved in developing and establishing the institution's public relations strategy.

Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
43.1.1	Records documenting the development and establishment of the institution's public relations strategy: key records.	Public Relations Strategy Internal Communication Strategy	Marketing and Student Recruitment	Superseded + 5 years	Archive	JISC	
43.1.2	Records documenting the development and establishment of the institution's public relations strategy: working papers.		Marketing and Student Recruitment	Issue of strategy + 1 year	Destroy	JISC	

43.2 Public Relations Policy Development

The activities involved in developing and establishing the institution's policies on managing public relations.

Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
43.2.1	Records documenting the development and establishment of the institution's public relations policies: key records.		Marketing and Student Recruitment	Superseded + 5 years	Archive	JISC	

43.2.2	Records documenting the development and establishment of the institution's public relations policies: working papers.		Marketing and Student Recruitment	Issue of policy + 1 year	Destroy	JISC	
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43.3 Public Relations Procedures Development

The activities involved in developing the institution's procedures for managing public relations.

Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
43.3.1	Records documenting the development of the institution's procedures relating to public relations.		Marketing and Student Recruitment	Issue of procedures + 1 year	Destroy	JISC	
43.3.2	Master copies of procedures relating to public relations.		Marketing and Student Recruitment	Superseded + 3 years	Review for archival value	JISC	

43.4 Public Communications Management

The activities involved in managing the institution's communications with the general public.

Activities include: handling enquiries, suggestions and complaints from the public.

For handling requests for information in accordance with legislation on access to information (e.g. freedom of information legislation), use the relevant category in INFORMATION COMPLIANCE MANAGEMENT.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
43.4.1	Records documenting enquiries from members of the public and the responses provided.		Marketing and Student Recruitment	Last action on enquiry + 1 year	Destroy	JISC	
43.4.2	Records documenting unsolicited feedback from members of the public, the internal handling of this feedback and the responses provided.		Marketing and Student Recruitment	Last action on feedback + 1 year	Destroy	JISC	
43.4.3	Records documenting the design and conduct of public surveys.		Marketing and Student Recruitment	Completion of survey + 3 years	Review for archival value	JISC	
43.4.4	Results of public surveys: individual responses.		Marketing and Student Recruitment	Completion of analysis of survey responses	Destroy	JISC	
43.4.5	Results of public surveys: summaries and analyses of responses.		Marketing and Student Recruitment	Completion of survey + 3 years	Review for archival value	JISC	
43.4.6	Records documenting complaints from members of the public, the internal handling of these complaints and the responses provided.		Marketing and Student Recruitment	Last action on complaint + 1 year	Destroy	JISC	

43.5 Public Events Management

The activities involved in organising *public events* (D1) held by the institution.

Activities include: determining dates and times; planning programmes; arranging venues, catering, security, transport etc.; issuing invitations; designing publicity materials (e.g. brochures, posters) and arranging production; designing event materials (e.g. delegate packs, menus) and arranging production; organising publicity (e.g. official photography, media coverage); issuing tickets; registering attendees; reviewing events; writing reports on events.

For academic awards ceremonies, use AWARD ADMINISTRATION - AWARD CEREMONY ADMINISTRATION.
For honorary awards ceremonies, use AWARDS ADMINISTRATION - AWARD CEREMONY ADMINISTRATION.

D1 *Public events* includes: ceremonies; celebrations and commemorations; tours; exhibitions; artistic performances; sporting events; lectures; church services; conferences.

Public events excludes: academic awards ceremonies; honorary awards ceremonies.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
43.5.1	Records documenting the planning and impact/results of public events.		Marketing and Student Recruitment or Department/Faculty responsible for the event	Completion of event + 3 years	Destroy	JISC	
43.5.2	Records documenting the organisation and administration of public events.		Marketing and Student Recruitment or Department/Faculty responsible for the event	Completion of event + 1 year	Destroy	JISC	

43.6 Official Visits Management

The activities involved in hosting official visits to the institution.

Activities include: planning programmes/itineraries; arranging venues, catering, security, transport etc.; organising publicity (e.g. official photography, media coverage); reviewing events; writing reports on events.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
43.6.1	Records documenting the organisation and administration of official visits.		Marketing and Student Recruitment	Completion of visit + 1 year	Destroy	JISC	

43.7 Sponsorship Management

The activities involved in officially sponsoring organisations, individuals or events.

Activities include: identifying sponsorship opportunities; negotiating sponsorship deals.

For drawing up legal agreements in relation to sponsorship, use LEGAL AFFAIRS - CONTRACTS & AGREEMENTS

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
43.7.1	Records documenting the arrangements for corporate sponsorship of public events by the institution.		Marketing and Student Recruitment	Termination of sponsorship + 6 years	Review for archival value	1980 c. 58 s 5	

43.8 Donations Management

The activities involved in making *donations* (D1) to other organisations or individuals.

Activities include: identifying potential recipients for donations; liaising with potential donors; formally transferring funds/goods or initiating other arrangements.

For negotiating legal agreements in relation to donations, use LEGAL AFFAIRS - CONTRACTS & AGREEMENTS.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
43.8.1	Records documenting the management of the institution's relationship with donors to the institution (other than in response to		Marketing and Student Recruitment?	Duration of relationship + 6 years	Review for archival value	1980 c.58	

	fundraising campaigns).						
43.8.2	Records documenting the process of making donations to third parties.		Marketing and Student Recruitment?	Last action on donation + 6 years	Review for archival value	1980 c.58	

44 Media Relations Management

The function of managing the institution's relationships with the media. (N1)

N1 This function is intended to cover all the institution's relationships with print and broadcast media organisations, and with freelance journalists, in the UK and elsewhere.

44.1 Media Relations Strategy Development

The activities involved in developing and establishing the institution's media relations strategy.

Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.

Media includes international, national and local print and broadcast media.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
44.1.1	Records documenting the development and establishment of the institution's media relations strategy: key records.		Marketing and Student Recruitment	Superseded + 5 years	Archive	JISC	
44.1.2	Records documenting the development and establishment of the institution's media relations strategy: working papers.		Marketing and Student Recruitment	Issue of strategy + 1 year	Destroy	JISC	

44.2 Media Relations Policy Development

The activities involved in developing and establishing the institution's policies on media relations.

Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
44.2.1	Records documenting the development and establishment of the institution's media relations policies: key records.		Marketing and Student Recruitment	Superseded + 5 years	Archive	JISC	
44.2.2	Records documenting the development and establishment of the institution's media relations policies: working papers.		Marketing and Student Recruitment	Issue of policy + 1 year	Destroy	JISC	

44.3 Media Relations Procedures Development

The activities involved in developing the institution's procedures for media relations.

Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
44.3.1	Records documenting the development of the institution's procedures relating to media relations.		Marketing and Student Recruitment	Issue of procedures + 1 year	Destroy	JISC	
44.3.2	Master copies of procedures relating to media relations.		Marketing and Student Recruitment	Superseded + 3 years	Review for archival value	JISC	

44.4 Media Communications Management

The activities involved in managing the institution's communications with and through the media.

Activities include: developing media contacts; arranging media accreditation; organising media briefings and press conferences; writing and issuing press releases; handling media enquiries; arranging media interviews and other contacts with institutional staff; arranging media coverage of events in, or involving, the institution; co-ordinating the institution's participation in media projects (e.g. programme making).

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
44.4.1	Records documenting the institution's media contacts.		Marketing and Student Recruitment	Superseded	Destroy	JISC	
44.4.2	Records documenting the planning and organisation of media briefings.		Marketing and Student Recruitment	Date of briefing + 1 year	Destroy	JISC	
44.4.3	Transcripts of media briefings		Marketing and Student Recruitment	Date of briefing + 5 years	Destroy	JISC	
44.4.4	Records documenting the planning and organisation of media interviews.		Marketing and Student Recruitment	Date of interview + 1 year	Destroy	JISC	
44.4.5	Transcripts of media interviews		Marketing and Student Recruitment	Date of interview + 5 years	Review for archival value	JISC	
44.4.6	Press Releases	Press releases	Marketing and	Current year + 5	Archive	JISC	

			Student Recruitment	years			
44.4.7	Records documenting media enquiries, the internal handling of these enquiries and responses provided.		Marketing and Student Recruitment	Last action on enquiry + 3 years	Destroy	JISC	

44.5 Media Monitoring

The activities involved in monitoring media coverage of the institution.

Activities include: compiling summaries of media coverage; analysing and preparing reports on media coverage.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
44.5.1	Records documenting the monitoring and analysis of media coverage of the institution.	Press bulletins	Marketing and Student Recruitment	Creation + 5 years	Destroy	NA	
44.5.2	Press cuttings			Creation + 1 year	Archive	NA	

45 HE/FE Sector Relations Management

The function of managing the institution's relationships with organisations in the HE and FE sectors. (N1) (N2)

For regular, ongoing contact relating to a specific Function or Activity, use [FUNCTION] - [ACTIVITY].

N1 This function is intended to cover the institution's relationships with: other HE institutions; other organisations in the HE sector (HE funding councils, HE quality and standards bodies); FE institutions; other organisations in the FE sector; learned societies; professional associations (except trades unions). These organisations may be in the UK or elsewhere.

N2 This function is intended to cover formal relationships between the institution and other organisations at corporate level. It is NOT intended to cover routine contact relating to a specific function or activity which is covered elsewhere in this Business Classification Scheme.

45.1 HE/FE Sector Relations Strategy Development

The activities involved in developing and establishing the institution's HE/FE sector relations strategy.

Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
45.1.1	Records documenting the development and establishment of the institution's HE/FE sector relations strategy: key records.			Superseded + 5 years	Archive	JISC	
45.1.2	Records documenting the development and establishment of the institution's HE/FE sector relations strategy: working papers.			Issue of strategy + 1 year	Destroy	JISC	

45.2 HE/FE Sector Relations Policy Development

The activities involved in developing and establishing the institution's policies on HE/FE sector relations.

Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
45.2.1	Records documenting the development and establishment of the institution's HE/FE sector relations policies: key records.			Superseded + 5 years	Archive	JISC	
45.2.2	Records documenting the development and establishment of the institution's HE/FE sector relations policies: working papers.			Issue of policy + 1 year	Destroy	JISC	

45.3 HE/FE Sector Relations Procedures Development

The activities involved in developing the institution's procedures for HE/FE sector relations.

Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
45.3.1	Records documenting the development of the institution's procedures relating to HE/FE sector relations.			Issue of procedures + 1 year	Destroy	JISC	
45.3.2	Master copies of procedures relating to HE/FE sector relations.			Superseded + 3 years	Review for archival value	JISC	

45.4 HE/FE Sector Communications Development

The activities involved in managing the institution's communications with organisations in the HE and FE sectors.

Activities include: making and handling general enquiries; producing newsletters, briefing papers and other publications intended for an HE sector audience; contributing to publications produced by others.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
45.4.1	Records documenting the institution's general communications with other HE institutions, other educational institutions, professional associations and learned bodies.	Correspondence, Minutes of meetings Papers	Departments/ Faculties/ Representative on committee	Current year + 5 years	Review for archival value	JISC	
45.4.2	Records documenting the production of publications specifically intended for the HE and/or FE sector(s).		Department/ Faculty responsible	Publication + 1 year	Destroy	JISC	
45.4.3	Publications		Department/ Faculty responsible	While current + 1 year	Review for archival value	JISC	
45.4.4	Records documenting general enquiries from institutions and other bodies in the sector, the internal handling of these enquiries and the responses given.		Department/ Faculty responsible	Last action of enquiry + 1 year	Destroy	JISC	

45.5 HE/FE Sector Consultations Management

The activities involved in 1) conducting formal consultations with/of organisations in the HE and FE sectors 2) responding to formal consultations conducted by HE/FE sector organisations.

Activities include: conducting internal consultation processes in order to 1) prepare consultation documents to be issued 2) prepare formal corporate responses to consultation documents received.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
45.5.1	Records documenting the preparation of the institution's formal responses to consultations conducted by HE/FE sector organisations (including records of internal consultation processes).		Department/ Faculty responsible	Last action on consultation + 1 year	Destroy	JISC	
45.5.2	Records documenting the institution's formal responses to consultations conducted by HE/FE sector organisations.		Department/ Faculty responsible	Last action on consultation + 3 years	Destroy	JISC	

45.6 HE/FE Sector Reporting

The activities involved in 1) submitting statistical and other data and reports to HE/FE regulatory bodies 2) receiving data and reports from these bodies for institutional use.

Activities include: conducting internal data collection exercises (where these are not part of routine data collection - see MANAGEMENT INFORMATION COLLECTION, ANALYSIS & REPORTING).

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
45.6.1	Records documenting the preparation and submission of reports to HE/FE regulatory bodies.	HESA returns HESES EYM	Department/ Faculty responsible	Submission of report + 3 years	Review for archival value	JISC	

45.7 HE/FE Sector Events Management

The activities involved in organising *events* (D1) specifically for the HE/FE sector.

Activities include: determining dates and times; arranging venues, catering, security, transport etc.; planning programmes; issuing invitations; designing publicity materials (e.g. brochures, posters) and arranging production; designing event materials (e.g. delegate packs, menus) and arranging production; organising publicity (e.g. official photography, media coverage); issuing tickets; registering attendees; reviewing events; writing reports on events.

D1 *Events* includes: conferences; seminars; training events.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
45.7.1	Records documenting the planning and impact/results of events for the HE sector.		Department/ Faculty responsible	Completion of event + 3 years	Destroy	JISC	
45.7.2	Records documenting the organisation and administration of events for the HE sector.		Department/ Faculty responsible	Completion of event + 1 year	Destroy	JISC	

45.8 HE/FE Sector Representation

The activities involved in representing the institution on HE/FE sector collaborative/representative bodies.

Activities include: establishing and maintaining membership of organisations; representing the institution on committees.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
45.8.1	Records documenting the institution's membership of organisations.		Departments/ Faculties	Renewal / Termination of membership + 1 year	Destroy	NA	
45.8.2	Records documenting the institution's participation in the activities of external organisations (including committees).		Departments/ Faculties/ Representative	Termination of involvement + 1 year	Review for archival value	NA	

45.9 HE/FE Sector Collaboration

The activities involved in establishing and managing collaborative relationships with organisations in the HE and FE sectors, in the UK and elsewhere.

D1 Collaborative relationships includes formal partnerships based on legal agreements/contracts.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
45.9.1	Records documenting the establishment of formal contractual relationships between the institution and other HE/FE institutions.	Collaboration contracts	Executive Office	Termination of contractual relationship + 6 years	Destroy	1980 c.58 s 5	
45.9.2	Records relating to cooperative partnerships	Institutional links Overseas agents application forms	Academic Registry/ Marketing and Student Recruitment Marketing and Student Recruitment	End of partnership + 6 years	Destroy	1980 c.58	
45.9.3	Publications relating to other HE/FE institutions.	Prospectuses from other institutions	Marketing and Student Recruitment	While current + 1 year	Destroy	Internal Guidance	
45.9.4	Records documenting the administration of the recognised teacher status scheme	Applications Approvals Correspondence	Executive Office	Termination of approval + 6 years	Destroy	Internal Guidance	
45.9.5	Records documenting the administration of fee abatement scheme	Applications Correspondence	Executive Office	Current financial/academic year + 6 years	Destroy	1980 c.58	

46 Community Relations Management

The function of managing the institution's relationship with its local community (N1).

For formal dialogue with the local community through the institution's governing body or another committee, use the relevant category in GOVERNANCE.

N1 This function is intended to cover the institution's relationships with organisations and individuals in its local community (e.g. local authorities, community groups, local business groups, local charities, campaign groups).

46.1 Community Relations Strategy Development

The activities involved in developing the institution's community relations strategy.

Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
46.1.1	Records documenting the development and establishment of the institution's community relations strategy: key records.			Superseded + 5 years	Archive	JISC	
46.1.2	Records documenting the development and establishment of the institution's community relations strategy: working papers.			Issue of strategy + 1 year	Destroy	JISC	

46.2 Community Relations Policy Development

The activities involved in developing and establishing the institution's policies on community relations.

Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy

documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
46.2.1	Records documenting the development and establishment of the institution's community relations policies: working papers.			Superseded + 5 years	Archive	JISC	
46.2.2	Records documenting the development of the institution's procedures relating to community relations.			Issue of policy + 1 year	Destroy	JISC	

46.3 Community Relations Procedures Development

The activities involved in developing the institution's procedures for community relations.

Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
46.3.1	Records documenting the development of the institution's procedures relating to community relations.			Issue of procedures + 1 year	Destroy	JISC	
46.3.2	Master copies of procedures relating to community relations.			Superseded + 3 years	Review for archival value	JISC	

46.4 Community Communications Management

The activities involved in managing the institution's communications with its local community.

Activities include: handling enquiries, suggestions and complaints from members of the local community; conducting community surveys and consultations.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
46.4.1	Records documenting enquiries from members of the local community and the responses provided.			Last action of enquiry + 1 year	Destroy	JISC	
46.4.2	Records documenting unsolicited feedback from members of the local community, the internal handling of this feedback and the responses provided.			Last action on feedback + 1 year	Destroy	JISC	
46.4.3	Records documenting the design and conduct of community surveys.			Completion of survey + 3 years	Review for archival value	JISC	
46.4.4	Results of community surveys: individual responses.			Completion of analysis of survey responses	Destroy	JISC	
46.4.5	Results of community surveys: summaries and analyses of responses			Completion of survey + 3 years	Review for archival value	JISC	
46.4.6	Records documenting complaints from members of the local community, the internal handling of these complaints and the responses provided.			Last action on complaint + 1 year	Destroy	JISC	

46.5 Community Events Management

The activities involved in organising *events* (D1) specifically for the local community.

Activities include: determining dates and times; arranging venues, catering, security, transport etc.; planning programmes; issuing invitations; designing publicity materials (e.g. brochures, posters) and arranging production; designing event materials (e.g. delegate packs, menus) and arranging production; organising publicity (e.g. official photography, media coverage); issuing tickets; registering attendees; reviewing events; writing reports on events.

D1 *Events* includes: ceremonies; celebrations and commemorations; tours; exhibitions; artistic performances; sporting events; lectures; church services; conferences.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
46.5.1	Records documenting the planning and impact/results of local community events.			Completion of event + 3 years	Destroy	JISC	
46.5.2	Records documenting the organisation and administration of local community events.			Completion of event + 1 year	Destroy	JISC	

46.6 Community Representation

The activities involved in representing the institution in local community organisations.

Activities include: establishing and maintaining membership of organisations; representing the institution in local community organisations.

For representing the institution in local HE/FE sector organisations, use HE/FE SECTOR RELATIONS - REPRESENTATION.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
46.6.1	Records documenting the institution's membership of local community organisations.			Termination of membership + 1 year	Destroy	JISC	
46.6.2	Records documenting the institution's participation in			Termination of involvement + 1 year	Destroy	JISC	

	the activities of local community organisations (including committees).						
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47 Alumni Relations Management

The function of managing the institution's relationship with its alumni.

For dealing with individual former students (e.g. for confirmation of awards), use the relevant Activity in STUDENT ADMINISTRATION.
For fundraising activities targeted at alumni, use the relevant category in FUNDRAISING.

47.1 Alumni Relations Strategy Development

The activities involved in developing and establishing the institution's alumni relations strategy.

Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
47.1.1	Records documenting the development and establishment of the institution's alumni relations strategy: key records.		Marketing and Student Recruitment	Superseded + 5 years	Archive	JISC	
47.1.2	Records documenting the development and establishment of the institution's alumni relations strategy: working papers.		Marketing and Student Recruitment	Issue of strategy + 1 year	Destroy	JISC	

47.2 Alumni Relations Policy Development

The activities involved in developing and establishing the institution's policies on alumni relations.

Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
47.2.1	Records documenting the development and establishment of the institution's alumni relations policies: key records.		Marketing and Student Recruitment	Superseded + 5 years	Archive	JISC	
47.2.2	Records documenting the development and establishment of the institution's alumni relations policies: working papers.		Marketing and Student Recruitment	Issue of policy + 1 year	Destroy	JISC	

47.3 Alumni Relations Procedures Development

The activities involved in developing the institution's procedures for alumni relations.

Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
47.3.1	Records documenting the development of the institution's procedures relating to alumni relations.		Marketing and Student Recruitment	Issue of procedures + 1 year	Destroy	JISC	
47.3.2	Master copies of procedures relating to alumni relations.		Marketing and Student Recruitment	Superseded + 3 years	Review for archival value	JISC	

47.4 Alumni Records Administration

The activities involved in maintaining accurate records on alumni for the purpose of maintaining the institution's relationship with them.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
47.4.1	Records containing personal data on individual alumni.		Marketing and Student Recruitment	While current (or likely to be current)	Destroy	JISC	Retention must comply with the provisions of 1998 c.29
47.4.2	Summary (anonymised) statistical records of alumni.		Marketing and Student Recruitment	Current year + 10 years	Archive	JISC	

47.5 Alumni Communications Management

The activities involved in managing the institution's communications with its alumni.

Activities include: planning and issuing communications to alumni, both one-off (e.g. notices of new alumni benefits or services) and regular (e.g. magazines); conducting surveys of alumni.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
47.5.1	Records documenting the design, planning and production of official alumni communications.		Marketing and Student Recruitment	Issue of communication + 1 year	Destroy	JISC	
47.5.2	Alumni communications	Newsletters/Magazines	Marketing and Student Recruitment	Issue + 1 year	Archive	JISC	
47.5.3	Records documenting enquiries from alumni and the responses provided.		Marketing and Student Recruitment	Last action on enquiry + 1 year	Destroy	JISC	

47.5.4	Records documenting unsolicited feedback from alumni, the internal handling of this feedback and the responses provided.		Marketing and Student Recruitment	Last action on feedback + 1 year	Destroy	JISC	
47.5.5	Records documenting the design and conduct of surveys of alumni.		Marketing and Student Recruitment	Completion of survey + 3 years	Review for archival value	JISC	
47.5.6	Results of alumni surveys: individual responses		Marketing and Student Recruitment	Completion of analysis of survey responses	Destroy	JISC	
47.5.7	Results of alumni surveys: summaries and analyses of responses		Marketing and Student Recruitment	Completion of survey + 3 years	Review for archival value	JISC	
47.5.8	Records documenting complaints from alumni.		Marketing and Student Recruitment	Last action on complaint + 3 years	Destroy	JISC	Retention for a longer period may be appropriate if the complaint, or the handling of the complaint, could be a basis for legal action against the institution.

47.6 Alumni Events Management

The activities involved in organising events for alumni.

Activities include: selecting dates and times; arranging venues, catering, security, transport etc.; planning programmes; issuing invitations; designing publicity materials (e.g. brochures, posters) and arranging production; designing event materials (e.g. delegate packs, menus) and arranging production; organising publicity (e.g. official photography, media coverage); issuing tickets; registering attendees; reviewing events; writing reports on events.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
47.6.1	Records documenting the planning and impact/results of institutional events for alumni.		Marketing and Student Recruitment	Completion of event + 3 years	Review for archival value	JISC	

47.6.2	Records documenting the organisation and administration of institutional events for alumni.		Marketing and Student Recruitment	Completion of event + 1 year	Destroy	JISC	
47.6.3	Records documenting the administration of financial and other support given to individual alumni organisations.		Marketing and Student Recruitment	Current financial year + 1 year	Destroy	JISC	

47.7 Alumni Support

The activities involved in providing support to alumni, both individually and through alumni associations.

Activities include: providing financial and other support to alumni associations; brokering contact with/between individuals.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
47.7.1	Records documenting requests from alumni associations for financial or other support, the internal handling of these requests and the responses provided.		Marketing and Student Recruitment	Last action on request + 1 year	Destroy	JISC	
47.7.2	Records documenting the administration of financial and other support to alumni organisations.		Marketing and Student Recruitment	Current financial year + 1 year	Destroy	JISC	
47.7.3	Records documenting requests for contact details for alumni, action taken and the responses provided.		Marketing and Student Recruitment	Last action on request + 1 year	Destroy	JISC	

48 Fundraising

The function of soliciting funds directly from organisations and individuals, and of managing relationships with donors. (N1)

N1 This Function is NOT intended to cover applying for funds which are managed/provided by HE funding councils or research councils. For these activities, use FINANCE MANAGEMENT - FUNDING MANAGEMENT or the relevant category in RESEARCH.

48.1 Fundraising Strategy Development

The activities involved in developing the institution's fundraising strategy.

Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
48.1.1	Records documenting the development and establishment of the institution's fundraising strategy: key records.		Marketing and Student Recruitment	Superseded + 5 years	Archive	JISC	
48.1.2	Records documenting the development and establishment of the institution's fundraising strategy: working papers.		Marketing and Student Recruitment	Issue of strategy + 1 year	Destroy	JISC	

48.2 Fundraising Policy Development

The activities involved in developing and establishing the institution's policies on fundraising.

Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
48.2.1	Records documenting the development and establishment of the institution's fundraising policies: key records.		Marketing and Student Recruitment	Superseded + 5 years	Archive	JISC	
48.2.2	Records documenting the development and establishment of the institution's fundraising policies: working papers.		Marketing and Student Recruitment	Issue of policy + 1 year	Destroy	JISC	

48.3 Fundraising Procedures Development

The activities involved in developing the institution's procedures for fundraising.

Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
48.3.1	Records documenting the development of the institution's procedures relating to fundraising.		Marketing and Student Recruitment	Issue of procedures + 1 year	Destroy	JISC	
48.3.2	Master copies of procedures relating to fundraising.		Marketing and Student Recruitment	Superseded + 3 years	Review for archival value	JISC	

48.4 Fundraising Campaign Management

The activities involved in undertaking fundraising campaigns.

Activities include: designing fundraising campaigns; establishing fundraising campaign management structures; developing and implementing fundraising projects; communicating with donors; reviewing the effectiveness of campaigns.

For commissioning / purchasing campaign support materials, use the relevant category in PROCUREMENT.

For processing financial transactions associated with receiving donations, use FINANCE MANAGEMENT - FINANCIAL ACCOUNTING.

For administering donated funds, use FINANCE MANAGEMENT - FUNDING MANAGEMENT.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
48.4.1	Records documenting the design, conduct and summary results of fundraising campaigns.		Marketing and Student Recruitment	Last action on campaign + 5 years	Review for archival value	JISC	
48.4.2	Records containing details of individual responses to fundraising campaigns.		Marketing and Student Recruitment	Completion of analysis of data	Destroy	JISC	Retention must comply with the provisions of 1998 c.29

48.5 Donations Management

The activities involved in receiving *donations* to the institution, and in managing the institution's formal relationships with donors.

Activities include: handling enquiries about donating; establishing mechanisms for donating; organising events for donors; communicating with donors.

For processing financial transactions associated with receiving or making donations, use FINANCE MANAGEMENT - FINANCIAL ACCOUNTING.

For administering funds donated to the institution, use FINANCE MANAGEMENT - FUNDING MANAGEMENT.

For negotiating legal agreements in relation to donations received or made, use LEGAL AFFAIRS MANAGEMENT - CONTRACTS & AGREEMENTS.

Donations means cash, estate or other items (e.g. works of art, manuscripts) donated to the institution by living donors on an ad hoc or regular basis, or as bequests.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
48.5.1	Records documenting the handling of enquiries about making donations to the institution.		Marketing and Student Recruitment	Last action on enquiry + 1 year	Review for archival value	JISC	

48.5.2	Records documenting donations to the institution.		Marketing and Student Recruitment	Current year + 5 years	Review for archival value	JISC	
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49 Student Relations Management

The function of managing the institution's relationship with its student body. (N1)

For administering the institution's contractual relationships with individual students, use STUDENT ADMINISTRATION.

N1 This Function is intended to cover the institution's corporate relationship with its student body and NOT its contractual relationships with its students.

49.1 Student Relations Strategy Development

The activities involved in developing and establishing the institution's student relations strategy.

Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
49.1.1	Records documenting the development and establishment of the institution's student relations strategy: key records.			Superseded + 5 years	Archive	JISC	
49.1.2	Records documenting the development and establishment of the institution's student relations strategy: working papers.			Issue of strategy + 1 year	Destroy	JISC	

49.2 Student Relations Policy Development

The activities involved in developing and establishing the institution's policies on student relations.

Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
49.2.1	Records documenting the development and establishment of the institution's student relations policies: key records.			Superseded + 5 years	Archive	JISC	
49.2.2	Records documenting the development and establishment of the institution's student relations policies: working papers.			Issue of policy + 1 year	Destroy	JISC	

49.3 Student Relations Procedures Development

The activities involved in developing the institution's procedures for student relations.

Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
49.3.1	Records documenting the development of the institution's procedures relating to student relations.			Issue of procedures + 1 year	Destroy	JISC	

49.3.2	Master copies of procedures relating to student relations.			Superseded + 3 years	Review for archival value	JISC	
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49.4 Student Communications Management

The activities involved in communicating formally with the student body.

Activities include: organising the election and/or appointment of student representatives to the institution's governing body and executive committees; establishing and operating staff-student liaison committees; operating student suggestion schemes; conducting general student surveys and consultations.

For consulting students in connection with reviews of taught programmes, use TEACHING - TAUGHT PROGRAMME REVIEW.

For consulting students in connection with internal or external reviews of teaching quality and standards, use TEACHING - TEACHING QUALITY & STANDARDS MANAGEMENT.

For consulting students in connection with research programme reviews, use RESEARCH – RESEARCH PROGRAMME REVIEW.

For consulting students in connection with internal or external reviews of research quality and standards, use RESEARCH - RESEARCH QUALITY & STANDARDS.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
49.4.1	Records documenting the establishment and operation of staff-student liaison committees.		?	Life of committee + 3 years	Destroy	JISC	
49.4.2	Records documenting the operation of staff-student liaison committees.		?	Current academic year + 3 years	Destroy	JISC	
49.4.3	Records documenting the design and conduct of student surveys.		Faculties/ Departments	Completion of survey + 5 years	Destroy	JISC	
49.4.4	Results of student surveys: individual responses		Faculties/ Departmetns	Completion of analysis of survey responses	Destroy	JISC	

49.4.5	Results of student surveys: summaries and analyses of responses		Departments/ Faculties	Completion of survey + 5 years	Review for archival value	JISC	
49.4.6	Records documenting the design of, and overall response to, student suggestion schemes.		Faculties	Closure of scheme + 5 years	Destroy	JISC	
49.4.7	Records documenting the handling of suggestions from individual students.		Faculties	Last action on suggestion + 1 year	Destroy	JISC	

50 Government Relations

The function of managing the institution's relationships with government bodies. (N1) (N2)

For routine contact with government bodies relating to a specific function or activity, use the relevant [FUNCTION] - [ACTIVITY].

N1 This function is intended to cover the institution's relationships with government bodies including: government departments; government agencies; non-departmental public bodies (NDPBs). These bodies may be in the UK or elsewhere.

N2 This function is intended to cover formal relationships between the institution and government bodies at corporate level. It is NOT intended to cover routine contact relating to a specific function or activity which is covered elsewhere in this Business Classification Scheme.

50.1 Government Relations Strategy Development

The activities involved in developing and establishing the institution's government relations strategy.

Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
50.1.1	Records documenting the development and establishment of the institution's government relations strategy: key records.			Superseded + 5 years	Archive	JISC	
50.1.2	Records documenting the development and establishment of the institution's government relations strategy: working papers.			Issue of strategy + 1 year	Destroy	JISC	

50.2 Government Relations Policy Development

The activities involved in developing and establishing the institution's policies on government relations.

Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
50.2.1	Records documenting the development and establishment of the institution's government relations policies: key records.			Superseded + 5 years	Archive	JISC	
50.2.2	Records documenting the development and establishment of the institution's government			Issue of policy + 1 year	Destroy	JISC	

	relations policies: working papers.						
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50.3 Government Relations Procedures Development

The activities involved in developing the institution's procedures for government relations.

Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
50.3.1	Records documenting the development of the institution's procedures relating to government relations.			Issue of procedures + 1 year	Destroy	JISC	
50.3.2	Master copies of procedures relating to government relations.			Superseded + 3 years	Review for archival value	JISC	

50.4 Government Communications Management

The activities involved in communicating formally with government bodies.

Activities include: liaising with government bodies; requesting information from government bodies; handling requests for information from government bodies.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
50.4.1	Records documenting general correspondence with government bodies.			Current year + 5 years	Review for archival value	JISC	
50.4.2	Records documenting			Last action on	Destroy	JISC	

	requests for information from government bodies, the consideration of the requests, preparation of responses and the responses provided.			request + 5 years			
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50.5 Government Consultations Management

The activities involved in responding to formal consultations conducted by government bodies.

Activities include: conducting internal consultation processes in order to prepare formal corporate responses.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
50.5.1	Records documenting the consideration and preparation of the institution's formal responses to consultations conducted by government bodies (including records of internal consultation processes).			Last action on consultation + 1 year	Destroy	JISC	
50.5.2	Records documenting the institution's formal responses to consultations conducted by government bodies.			Last action on consultation + 5 years	Review for archival value	JISC	

50.6 Government Reporting

The activities involved in: 1) preparing and submitting statistical and other data and reports to government bodies 2) receiving and responding to data and reports from government bodies.

Activities include: conducting internal data collection exercises (where these are not part of routine data collection - see MANAGEMENT INFORMATION COLLECTION, ANALYSIS & REPORTING).

For collection and maintaining corporate datasets, use MANAGEMENT INFORMATION COLLECTION, ANALYSIS & REPORTING.

For preparing and submitting statistical and other data and reports to HE and FE regulatory bodies (e.g. HESA) use HE/FE SECTOR RELATIONS MANAGEMENT - HE/FE SECTOR REPORTING.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
50.6.1	Records documenting the preparation and submission of reports to government bodies.			Submission of report + 3 years	Review for archival value	JISC	

50.7 Government Inquiries/Investigations Management

The activities involved in participating in formal inquiries and investigations conducted by government bodies.

Activities include: liaising with bodies carrying out inquiries and investigations; providing evidence to assist inquiries and investigations (e.g. by making formal submissions, by providing records or by making staff available).

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
50.7.1	Records documenting the institution's participation in formal government or public inquiries.			Last action on inquiry + 10 years	Review for archival value	JISC	

51 Parliamentary Relations

The function of managing the institution's relationships with parliamentary bodies. (N1) (N2)

For routine contact with parliamentary bodies relating to a specific function or activity, use the relevant [FUNCTION] - [ACTIVITY].

N1 This function is intended to cover the institution's relationships with parliamentary bodies including: parliaments; parliamentary committees; parliamentary officials; members of parliaments; inter-parliamentary bodies. These bodies or individuals may be in the UK or elsewhere.

N2 This function is intended to cover formal relationships between the institution and parliamentary bodies at corporate level. It is NOT intended to cover routine contact relating to a specific function or activity which is covered elsewhere in this Business Classification Scheme.

51.1 Parliamentary Relations Strategy Development

The activities involved in developing and establishing the institution's parliamentary relations strategy.

Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
51.1.1	Records documenting the development and establishment of the institution's parliamentary relations strategy: key records.			Superseded + 5 years	Archive	JISC	
51.1.2	Records documenting the development and establishment of the institution's parliamentary relations strategy: working papers.			Issue of strategy + 1 year	Destroy	JISC	

51.2 Parliamentary Relations Policy Development

The activities involved in developing and establishing the institution's policies on parliamentary relations.

Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
51.2.1	Records documenting the development and establishment of the institution's parliamentary relations policies: key records.			Superseded + 5 years	Archive	JISC	
51.2.2	Records documenting the development and establishment of the institution's parliamentary relations policies: working papers.			Issue of policy + 1 year	Destroy	JISC	

51.3 Parliamentary Relations Procedures Development

The activities involved in developing the institution's procedures for parliamentary relations.

Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
51.3.1	Records documenting the development of the institution's procedures relating to parliamentary relations.			Issue of procedures + 1 year	Destroy	JISC	
51.3.2	Master copies of procedures relating to parliamentary relations.			Superseded + 3 years	Review for archival value	JISC	

51.4 Parliamentary Communications Management

The activities involved in communicating formally with parliamentary bodies.

Activities include: liaising with parliamentary bodies; responding to questions, requests for information etc. from parliamentary bodies and individual members of parliaments.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
51.4.1	Records documenting general correspondence with parliamentary bodies.			Current year + 5 years	Review for archival value	JISC	
51.4.2	Records documenting requests for information from parliamentary bodies, the consideration of the requests, preparation of responses and the responses provided.			Last action on request + 5 years	Destroy	JISC	

51.5 Parliamentary Consultations Management

The activities involved in responding to formal consultations conducted by parliamentary bodies.

Activities include: conducting internal consultation processes in order to prepare formal corporate responses.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
51.5.1	Records documenting the preparation of the institution's formal responses to consultations conducted by parliamentary bodies (including records of internal consultation processes).			Last action on consultation + 1 year	Destroy	JISC	

51.5.2	Records documenting the institution's formal responses to consultations conducted by parliamentary bodies.			Last action on consultation + 3 years	Review for archival value	JISC	
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51.6 Parliamentary Inquiries & Investigations Management

The activities involved in participating in formal inquiries and investigations conducted by parliamentary bodies.

Activities include: liaising with bodies carrying out inquiries and investigations; providing evidence to assist inquiries and investigations (e.g. by making formal submissions, by providing records or by making staff available).

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
51.6.1	Records documenting the institution's participation in formal parliamentary inquiries.			Last action on inquiry + 10 years	Review for archival value	JISC	

52 Students' Union Relations Management

The function of managing the institution's relationship with its students' union, to fulfil its responsibilities under the Education Act 1994 (1994 c. 30).

52.1 Students' Union Relations Strategy Development

The activities involved in developing and establishing the institution's students' union relations strategy.

Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
52.1.1	Records documenting the development and establishment of the institution's students' union relations strategy: key records.			Superseded + 10 years	Archive	JISC	
52.1.2	Records documenting the development and establishment of the institution's students' union relations strategy: working papers.			Issue of strategy + 1 year	Destroy	JISC	

52.2 Students' Union Relations Policy Development

The activities involved in developing and establishing the institution's policies on managing its relationship with its students' union.

Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
52.2.1	Records documenting the development and establishment of the institution's policies on students' union relations: key records.			Superseded + 5 years	Archive	JISC	
52.2.2	Records documenting the development and establishment of the institution's policies on			Issue of policy + 1 year	Destroy	JISC	

	students' union relations: working papers.						
52.2.3	Records documenting the development and establishment of the institution's code of practice on the oversight of the operations and finances of its students' union, as required by Section 22(3) of the Education Act 1994.			Issue of revised Code of Practice + 1 year	Destroy	JISC	1994 c. 30 does not prescribe a retention period.
52.2.4	Code of Practice required by Section 22(3) of the Education Act 1994.			Superseded + 10 years	Archive	JISC	

52.3 Students' Union Relations Procedures Development

The activities involved in developing the institution's procedures for managing its relationship with its students' union.

Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Activities include: preparing the institution's code of practice setting out how the provisions of the Education Act 1994 are to be implemented.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
52.3.1	Records documenting the development of the institution's procedures relating to students' union relations.			Issue of procedures + 1 year	Destroy	JISC	

52.3.2	Master copies of procedures relating to students' union relations.			Superseded + 5 years	Review for archival value	JISC	
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52.4 Students' Union Constitution Review & Approval

The activities involved in reviewing and approving the student's union constitution, other than formal review and approval by the institution's governing body. The institution's governing body is required to formally review and approve the students union's constitution. For records relating to this process, use 16.3 Governance – Governing Body Management. Use this category for all other activities.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
52.4.1	Records documenting the process of reviewing the students' union's constitution, as required by s. 22(2) of the Education Act 1994.			NA			The governing body's formal review and approval of the students union's constitution will be recorded in the minutes of the appropriate meetings of the governing body. These records will be retained with the records of the governing body.

52.5 Students' Union Funding

The activities involved in providing funding for the institution's students' union.

For payment of funds, use FINANCE MANAGEMENT - FINANCIAL ACCOUNTING.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
52.5.1	Records documenting the process of negotiating and agreeing funding to be provided by the institution to its students' union.			Current financial year + 1 year	Destroy	JISC	

52.6 Students' Union Financial Monitoring

The activities involved in monitoring the financial affairs of the institution's students' union, other than formal monitoring and, where appropriate, approval by the institution's governing body.

The institution's governing body is required to formally review and approve the students union's budgets and monitor its expenditure. For this, use GOVERNANCE - STATUTORY COMMITTEE MANAGEMENT. Use this category for all other work.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
52.6.1	Records documenting the process of reviewing the students' union's budgets, as required by s. 22(2) of the Education Act 1994.			NA			The governing body's formal review and approval of the students union's budgets will be recorded in the minutes of the appropriate meetings of the governing body. These records will be retained with the records of the governing body.
52.6.2	Records documenting the monitoring of the students' union's financial affairs, as required by s. 22(2) of the Education Act 1994.			NA			The governing body's formal review and approval of the students union's financial reports will be recorded in the minutes of the appropriate meetings of the governing body. These records will be retained with the records of the governing body.

52.7 Students' Union Operations Monitoring

The activities involved in monitoring the operations of the institution's students' union.

Activities include: monitoring the conduct of the students' union's elections; monitoring the students' union's affiliations; monitoring and, where appropriate, investigating complaints against the students' union.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
52.7.1	Records documenting the monitoring of elections to major offices in the institution's students' union, as required by s. 22(2) of the Education Act 1994 (1994 c. 30).			NA			The governing body's formal review of the students union's elections will be recorded in the minutes of the appropriate meetings of the governing body. These records will be retained with the records of the governing body.
52.7.2	Records documenting the monitoring of students' union affiliations, as required by s. 22(2) of the Education Act 1994 (1994 c. 30).			NA			The governing body's formal review of the students union's affiliations will be recorded in the minutes of the appropriate meetings of the governing body. These records will be retained with the records of the governing body.
52.7.3	Records documenting the investigation and reporting on complaints against the students' union by independent investigators appointed by the institution's governing body.			Settlement of complaint + 6 years	1980 c.58 s 5	JISC	

53 Marketing

The function of marketing the institution.

53.1 Marketing Strategy Development

The activities involved in developing and establishing the institution's marketing strategy.

Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
53.1.1	Records documenting the development and establishment of the institution's marketing strategy: key records.		Marketing and Student Recruitment Departments/ Faculties for departmental strategies	Superseded + 5 years	Archive	JISC	
53.1.2	Records documenting the development and establishment of the institution's marketing strategy: working papers.		Marketing and Student Recruitment Departments/ Faculties for departmental strategies	Issue of strategy + 1 year	Destroy	JISC	

53.2 Marketing Policy Development

The activities involved in developing and establishing the institution's policies on marketing.

Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
53.2.1	Records documenting the development and establishment of the institution's marketing policies: key records.		Marketing and Student Recruitment Departments/ Faculties for departmental policies	Superseded + 5 years	Archive	JISC	
53.2.2	Records documenting the development and establishment of the institution's marketing policies: working papers.		Marketing and Student Recruitment Departments/ Faculties for departmental policies	Issue of policy + 1 year	Destroy	JISC	

53.3 Marketing Procedures Development

The activities involved in developing the institution's procedures for marketing.

Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
53.3.1	Records documenting the development of the institution's procedures relating to marketing.		Marketing and Student Recruitment Departments/ Faculties for	Issue of procedures + 1 year	Destroy	JISC	

			departmental procedures				
53.3.2	Master copies of procedures relating to marketing.		Marketing and Student Recruitment Departments/ Faculties for departmental procedures	Superseded + 3 years	Review for archival value	JISC	

53.4 Market Research

The activities involved in carrying out market research.

Activities include: designing and developing market research tools; planning and conducting data collection; collecting, collating and analysing data.

For establishing and managing contracts with external organisations to undertake market research, use the relevant category in PROCUREMENT.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
53.4.1	Records documenting the design and development of market research tools.	Market intelligence reports, Market research reports	Faculties/ Marketing and Student Recruitment	Completion of research + 5 years	Destroy	JISC	
53.4.2	Market research data: data relating to identifiable individuals.	Market research statistics	Faculties / Marketing and Student Recruitment	Completion of analysis of data	Destroy	JISC	
53.4.3	Market research data: aggregated data and analyses.		Faculties / Marketing and Student Recruitment	Completion of research + 5 years	Destroy	JISC	

53.5 Marketing Campaign Management

The activities involved in conducting marketing campaigns.

Activities include: planning marketing campaigns; developing marketing campaigns; reviewing marketing campaigns.

For establishing and managing contracts with external organisations to undertake marketing campaigns, use the relevant category in PROCUREMENT.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
53.5.1	Records documenting the planning and conduct of marketing campaigns.		Marketing and Student Recruitment/ Departments	Completion of campaign + 5 years	Archive	Internal Guidance	
53.5.2	Records documenting the design, implementation and review of marketing campaigns.		Marketing and Student Recruitment	Completion of campaign + 3 years	Destroy	JISC	

53.6 Corporate Identity & Brand Management

The activities involved in managing the institution's corporate identity and brand.

Activities include: designing the institution's corporate identity marks (logos, etc.); controlling use of corporate identity marks; compiling and ensuring use of corporate style guides.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
53.6.1	Records documenting the design of the institution's corporate identity marks (logos etc.).		Marketing and Student Recruitment?	Superseded	Review for archival value	JISC	
53.6.2	Records documenting the development of corporate style guides for official use of corporate identity marks.		Marketing and Student Recruitment?	Superseded	Destroy	JISC	

53.7 Advertising Management

The activities involved in advertising the institution's programmes, facilities and services.

Activities include: designing advertisements; placing advertisement; monitoring the impact of advertisements.

For establishing and managing contracts for professional or technical services, use the relevant category in PROCUREMENT.
For financial transactions associated with placing advertisements, use FINANCE MANAGEMENT - FINANCIAL ACCOUNTING.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
53.7.1	Records documenting the development, placement and impact of advertisements.		Marketing and Student Recruitment	Current + 5 years	Review for archival value	JISC	

RELATED COMPANIES

54 Related Companies Management

The function of establishing and managing/supporting [Related Company] (D1). (N1)

D1 Related company means 'Any legal entity where the institution has control over, or exercises a substantial degree of influence over, that company's activities' (*Related companies: guidance for higher education institutions*, Higher Education Funding Council for England, 2005).

N1 This is a generic framework for the function of setting up a related company and of monitoring and controlling its activities. It is based on the stages in the life cycle of a company defined in *Related companies: guidance for higher education institutions* (Higher Education Funding Council for England, 2005). It is designed to be customised to produce a business classification scheme for any related company which the institution establishes. Identifying and defining the functions and activities of individual related companies is outside the scope of this Business Classification Scheme.

54.1 University of Glamorgan Commercial Services Limited Formation

The activities involved in forming University of Glamorgan Commercial Services Limited

Activities include: determining the constitution of the company; determining the control framework of the company and formalising the relationship between the institution and the company through a Memorandum of Understanding; appointing a Nominated Officer to act as the link between the institution and the company; where appropriate, drawing up a Shareholders Agreement; validating and approving the company's business plan; ensuring the establishment of an appropriate governance structure and rules for the company; ensuring the establishment of appropriate management structures and operating procedures for the company; ratifying the appointment of directors of the company.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
54.1.1	Records documenting the formation of the University of Glamorgan Commercial Services Limited	Memorandum of understanding, Business plans, Board Minutes	UGCS	Life of company + 10 years	Archive	JISC	

54.2 University of Glamorgan Commercial Services Limited Management

The activities involved in ensuring that the University of Glamorgan Commercial Services Limited] is conducting business in line with the established agreements and relevant legislation.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
54.2.1	Records documenting action by the institution to ensure that a related company is conducting business in line with established agreements and company law.		UGCS	Current year + 5 years	Review for archival value	JISC	

54.3 University of Glamorgan Commercial Services Limited Oversight & Review

The activities involved in reviewing the performance of the University of Glamorgan Commercial Services Limited

Activities include: reviewing the performance of the company against its plans, including budgets; ensuring that internal and external audits of the company are carried out and the results reported to the institution; ensuring that proper financial records are being kept by the company, and that proper accounts are prepared; ensuring that the company has proper procedures in place to comply with legislation relevant to its activities and operations.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
54.3.1	Records documenting the oversight and periodic review of the performance of the University of Glamorgan Commercial Services Limited.		UGCS	Current year + 5 years	Destroy	JISC	
54.3.2	Records containing reports of the results of internal and external audits of a related company.		UGCS	Current year + 5 years	Destroy	JISC	
54.3.3	Records documenting action taken by the institution to ensure that a related company has proper operating procedures in place, and that they are being implemented.		UGCS	Current year + 5 years	Destroy	JISC	
54.3.4	Annual Report & Accounts of related company.		UGCS	Life of company + 10 years	Archive	JISC	

54.4 [Company] Exit / Wind-up

The activities involved in disposing of the institution's investment in [Related Company] OR in winding-up [Related Company].

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
54.4.1	Records documenting the winding-up of the [related company] or the disposal of the institution's interest in it.		UGCS	Wind-up/Disposal of company + 6 years	Archive	1980 c. 58 s 5	

COMMERCIAL SERVICES

55 Commercial Services

The function of providing the [*commercial service*] (D1). (N1) (N2)

For contract research services, use RESEARCH.

For consultancy services, use CONSULTANCY.

D1 *Commercial service* means a service which is provided in exchange for income. Users/customers of the service may be institutional staff or students, the public or external organisations.

N1 This is a generic business classification scheme for the function of providing a commercial service. It is a framework which can be customised to produce a specific business classification scheme for any type of commercial service which the institution provides.

Commercial services provided by HEIs include: catering services; childcare services; conference services; graphic design services; holiday accommodation services; laboratory testing/analysis services; leisure services; library and information services; media production services; photographic services; printing services; retail services.

Identifying and defining all the activities involved in delivering all the possible services that an institution could provide is outside the scope of this Business Classification Scheme.

N2 This function is intended to cover only the substantive (i.e. 'core business') aspects of providing a commercial service. A business unit which provides a commercial service will also undertake functions which appear elsewhere in this business classification scheme (e.g. Finance Management).

55.1 Sports Centre Procedures Development

The activities involved in developing the institution's procedures for the Sports Centre.

Activities include: identifying needs for new / revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Description of Records	Record Examples	Ownership	Retention period	Disposal Action	Retention authority	Notes
55.1.1	Records documenting the development of the institution's procedures relating to the Sports Centre.		Campus Services	Issue of procedures + 1 year	Destroy	JISC	
55.1.2	Master copies of procedures relating to the Sports Centre.		Campus Services	Superseded + 3 years	Review for archival Value	JISC	

55.2 Sports Centre Operations Management

The activities involved in operating the Sports Centre.

Ref	Description of Records	Record Examples	Ownership	Retention period	Disposal Action	Retention authority	Notes
55.2.1	Records documenting the administration of activity programmes and classes.	Booking forms Registrations Consent forms Completed classes/courses Usage statistics Correspondence	Campus Services	Completion of event + 5 years	Destroy	Internal Guidance	If an incident or accident occurs during children's activities, retain consent forms until the child reaches the age of 25.
55.2.2	Records documenting the administration of membership. .	Membership forms Induction forms	Campus Services	Current year + 1 year	Destroy	Internal Guidance	

55.2.3	Records documenting fitness testing data.	PARQ forms Consent forms Fitness testing data	Campus Services/ Faculties for students undergoing fitness tests as part of their course	Current year + 5 years/. End of 'registered student' relationship with institution + 6 years for fitness testing as part of an award.	Destroy	Internal Guidance 1980c.58	
55.2.4	Records documenting the promotion of the Sports Centre.	Programmes	Campus Services	While Current	Review for archival values	Internal Guidance	
55.2.5	Records documenting the external bookings and hiring out of the Sports Centre.	Booking forms Hire of Sports facilities records	Campus Services	Current year + 6 years	1980 c.58	Internal Guidance	
55.2.6	Records documenting the daily operation of the Sports Centre.	Daily job sheets	Campus Services	Current year + 5 years	Destroy	Internal Guidance	

55.3 Child Care Service Policy Development

The activities involved in developing and establishing the institution's policies for the Child Care Service.

Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Description of Records	Record Examples	Ownership	Retention period	Disposal Action	Retention authority	Notes
55.3.1	Records documenting the development and establishment of the institution's Child Care Service policies: key records.		Campus Services	Superseded + 3 years	Archive	JISC	
55.3.2	Records documenting the development and		Campus Services	Issue of policy + 1 year	Destroy	JISC	

	establishment of the institution's Child Care Service policies: working papers.						
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55.4 Child Care Service Procedures Development

The activities involved in developing the institution's procedures for the Child Care Service.

Activities include: identifying needs for new / revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Description of Records	Record Examples	Ownership	Retention period	Disposal Action	Retention authority	Notes
55.4.1	Records documenting the development of the institution's procedures relating to the Child Care Service.		Campus Services	Issue of procedures + 1 year	Destroy	JISC	
55.4.2	Master copies of procedures relating to the Child Care Service.		Campus Services	Superseded + 3 years	Review for archival Value	JISC	

55.5 Childcare Services Operations Management

The activities involved in operating the Childcare Services.

Ref	Description of Records	Record Examples	Ownership	Retention period	Disposal Action	Retention authority	Notes
55.5.1	Records containing details of children.	Individual children's files including admission form, medical form, key worker form, any child protection, or SEN	Campus Services	Last date attended+ 3 years	Destroy	CSIW	Child protection and SEN information is passed on to schools.

		information. Attendance registers		Date of register + 3 years	Destroy	Internal Guidance	
55.5.2	Records documenting inspections and reports by CSIW	Inspection reports Annual reports	Campus Services	Whilst current	Review for archival value	Internal Guidance	
55.5.3	Records documenting child development and educational planning.	Extracts from child's developmental book Educational planning files	Campus Services	Current year + 5 years	Destroy	Internal Guidance	
55.5.4	Records documenting administration of the playcare scheme		Campus Services	Current year + 3 years	Destroy	Internal Guidance	

55.6 Hospitality Service Procedures Development

The activities involved in developing the institution's procedures for the Hospitality Service.

Activities include: identifying needs for new / revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Description of Records	Record Examples	Ownership	Retention period	Disposal Action	Retention authority	Notes
55.6.1	Records documenting the development of the institution's procedures relating to the Hospitality Service.		Campus Services	Issue of procedures + 1 year	Destroy	JISC	

55.6.2	Master copies of procedures relating to the Hospitality Service		Campus Services	Superseded + 3 years	Review for archival Value	JISC	
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55.7 Hospitality Service Operations Management

The activities involved in operating the Hospitality Service.

Ref	Description of Records	Record Examples	Ownership	Retention period	Disposal Action	Retention authority	Notes
55.7.1	Records documenting sales information	Sales analysis Statistics Reports	Campus Services	Current year + 5 years	Destroy	Internal Guidance	
55.7.2	Records documenting the design and delivery of catering service	Menus Event plans Conferences plans	Campus Services	Current year + 1 year	Destroy	Internal Guidance	
55.7.3	Records documenting environmental health documents	Food safety temperature records	Campus Services	Current + 1 year	Destroy	Internal Guidance	

55.8 Conference Services Procedures Development

The activities involved in developing the institution's procedures for the Conference Service.

Activities include: identifying needs for new / revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Description of Records	Record Examples	Ownership	Retention period	Disposal Action	Retention authority	Notes
55.8.1	Records documenting the development of the institution's procedures relating to the Conference Service.		Campus Services	Issue of procedures + 1 year	Destroy	JISC	
55.8.2	Master copies of procedures relating to the Conference Service.		Campus Services	Superseded + 3 years	Review for archival Value	JISC	

55.9 Conference Services Operations Management

The activities involved in operating the Conference Services.

Ref	Description of Records	Record Examples	Ownership	Retention period	Disposal Action	Retention authority	Notes
55.9.1	Records documenting the organisation and administration of events.	Day files including signed confirmations Major events files and information	Campus Services	Current year + 6 years	Destroy	1980 c58	

55.10 Accommodation Service Operations Management

The activities involved in operating/providing the accommodation service.

Ref	Description of Records	Record Examples	Ownership	Retention period	Disposal Action	Retention authority	Notes
55.10.1	Records documenting the letting of accommodation to casual visitors	Booking forms	Campus Services	Termination of contract + 6 years	Destroy	1980 c.58	

55.11 Media Services Procedures Development

The activities involved in developing the institution's procedures for Media Services.

Activities include: identifying needs for new / revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Description of Records	Record Examples	Ownership	Retention period	Disposal Action	Retention authority	Notes
55.11.1	Records documenting the development of the institution's procedures relating to Media Services.		LCSS-LR	Issue of procedures + 1 year	Destroy	JISC	
55.11.2	Master copies of procedures relating to Media Services.		LCSS-LR	Superseded + 3 years	Review for archival Value	JISC	

55.12 Media Services Operations Management

The activities involved in operating Media Services.

Ref	Description of Records	Record Examples	Ownership	Retention period	Disposal Action	Retention authority	Notes
55.12.1	Records documenting media work and support.	Requests for work; Job sheets Enquiries; Video Conferencing requests; Maintenance of audio-visual rooms; Call out records	LCSS-LR	Current year + 6 years	Destroy	Internal Guidance	
55.12.2	Media work.	Brochures; Leaflets; Videos; Photographs	LCSS-LR	While current	Review for archival value	Internal Guidance	

55.13 Chiropractic Services Operations Management

The activities involved in providing Chiropractic services through the Welsh Institute of Chiropractic (WIOC)

Ref	Description of Records	Record Examples	Ownership	Retention period	Disposal Action	Retention authority	Notes
55.13.1	Records containing patient details	Patient files	WIOC	Last visit of patient + 8 years. If the patient is a child, until the patient's 25 th birthday or 26 th birthday if the patient was 17 at the conclusion of treatment	Destroy	General Chiropractic Council Code of Practice	

55.14 Commercial Service (name of service) Relations Management

The activities involved in establishing and managing relationships with customers.

Activities include: handling enquiries; handling customer complaints; conducting customer surveys.

Ref	Description of Records	Record Examples	Ownership	Retention period	Disposal Action	Retention authority	Notes
55.14.1	Records documenting enquiries about the Commercial Service and the responses provided.		Lead Department	Last action on enquiry + 1 year	Destroy	JISC	
55.14.2	Records documenting the handling of complaints from customers of the Commercial Service		Lead Department	Last action on complaint + 3 years	Destroy	JISC	Retention for a longer period may be appropriate if the complaint, or the handling of the complaint, could be a basis for legal action against the institution.
55.14.3	Records documenting unsolicited customer		Lead Department	Last action on feedback + 3 years	Destroy	JISC	

	feedback on the Commercial Service and the responses provided.						
55.14.4	Records documenting the design of the Commercial Service customer surveys and the (anonymised, if necessary) analysis of responses.		Lead Department	Last action on survey + 3 years	Destroy	JISC	
55.14.5	Individual responses to the Commercial Service customer surveys.		Lead Department	Completion of analysis of responses	Destroy	JISC	If responses identify individuals, these records must be retained in accordance with the provisions of the Data Protection Act 1998 (c.29).

CORPORATE SERVICES MANAGEMENT

This is a generic business classification scheme for the function of providing a corporate service. It is designed to be customised to produce a business classification scheme for any type of non-commercial service which the institution provides, except a service which it provides primarily to support its students.

Identifying and defining the functions and activities of individual corporate services is outside the scope of this Business Classification Scheme.

For providing a service primarily to support students, use the framework provided in the STUDENT SUPPORT SERVICES section.
For providing a commercial service, use the framework provided in the COMMERCIAL SERVICES section.

Corporate service means a service provided primarily for the institution's staff but which may also be provided (or available to) students and others. Corporate services may include: archives services; catering services; computing services; graphic design services; leisure services; library and information services; mail services; museum services; photographic services; reception services; records management services; reprographic services; security services; telephone services.

56 Learning Resources Services Management

The function of providing Learning Resources Services.

56.1 Learning Resources Policy Development

The activities involved in developing and establishing the institution's policies for Learning Resources.

Activities include: identifying requirements for new / revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Description of Records	Record Examples	Ownership	Retention period	Disposal Action	Retention authority	Notes
56.1.1	Records documenting the development and establishment of the institution's Learning Resources policies: key records.		LCSS-LR	Superseded + 3 years	Archive	JISC	
56.1.2	Records documenting the development and establishment of the institution's Learning Resources policies: working papers.		LCSS-LR	Issue of policy + 1 year	Destroy	JISC	

56.2 Learning Resources Procedures Development

The activities involved in developing the institution's procedures for Learning Resources

Activities include: identifying needs for new / revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Description of Records	Record Examples	Ownership	Retention period	Disposal Action	Retention authority	Notes
56.2.2	Records documenting the development of the		LCSS-LR	Issue of procedures + 1 year	Destroy	JISC	

	institution's procedures relating to Learning Resources.						
56.2.3	Master copies of procedures relating to Learning Resources.		LCSS-LR	Superseded + 3 years	Review for archival value	JISC	

56.3 Learning Resources Planning

The activities involved in developing plans for Learning Resources.

Activities include: undertaking research and analysis; drafting plans; consulting on draft plans; finalising plans in the light of comments received; submitting plans for formal approval; formally approving plans; disseminating plans.

Ref	Description of Records	Record Examples	Ownership	Retention period	Disposal Action	Retention authority	Notes
56.3.1	Records documenting the planning of the management and operation of Learning Resources.	Project plans	LCSS-LR	Current year + 3 years	Destroy	JISC v2	

56.4 Learning Resources Performance Management

The activities involved in managing the performance of Learning Resources.

The activities involved in identifying, evaluating and developing performance so that aims and objectives are achieved. Includes: developing performance indicators and measurement mechanisms; measuring, monitoring and analysing performance (against plans); conducting formal reviews of performance and responding to the results.

Ref	Description of Records	Record Examples	Ownership	Retention period	Disposal Action	Retention authority	Notes
56.4.1	Records containing data on, and analyses of, the performance of the Learning Resources.	Questionnaires Performance indicators	LCSS-LR	Current year + 1 year	Destroy	JISC v2	

56.4.2	Records containing reports on the performance of Learning Resources.	Statistical reports	LCSS-LR	Current year + 3 years	Review for archival value	JISC v2	
56.4.3	Records documenting the conduct and results of audits and reviews of an internal service, and the responses to the results.		LCSS-LR	Current year + 3 years	Review for archival value	JISC v2	

56.5 Learning Resources Quality Management

The activities involved in ensuring that the quality and standard of Learning Resources is appropriate and consistent.

Activities include: developing and establishing quality standards; monitoring performance against these standards through internal monitoring, external (to the service) audit and customer feedback.

Ref	Description of Records	Record Examples	Ownership	Retention period	Disposal Action	Retention authority	Notes
56.5.1	Records documenting the development and establishment of service standards for Learning Resources.	Customer survey standard	LCSS-LR	Superseded + 1 year	Destroy	JISC v2	
56.5.2	Records containing data on, and analyses of, the quality of service delivered against the established service standards.		LCSS-LR	Current year + 1 year	Destroy	JISC v2	

56.6 Learning Resources Promotion

The activities involved in promoting Learning Resources.

Activities include: designing promotional materials and arranging production and distribution; organising publicity (e.g. official photography, media coverage).

Ref	Description of Records	Record Examples	Ownership	Retention period	Disposal Action	Retention authority	Notes
56.6.1	Records documenting the development and assessment of promotional campaigns for Learning Resources.		LCSS-LR	Superseded + 1 year	Destroy	Internal Guidance	
56.6.2	Promotional materials.	Newsletters Leaflets and brochures to promote the service	LCSS-LR	While current	Review for archival value	Internal Guidance	

56.7 Learning Resources Operations Management

The activities involved in operating Learning Resources.

The activities involved in operating the service may include some which are common to many types of service, for example: handling enquiries; negotiating service level agreements; conducting customer surveys. Other activities involved will vary depending on the type of service. Identifying and defining all the activities involved in operating all the possible services that an institution could provide is outside the scope of this Business Classification Scheme. Institutional records managers should identify and define the activities associated with each service that the institution provides.

For handling enquiries, use the generic scheme in GENERIC ACTIVITIES – ENQUIRIES

For organising events, use the generic scheme in GENERIC ACTIVITIES - EVENTS.

Ref	Description of Records	Record Examples	Ownership	Retention period	Disposal Action	Retention authority	Notes
56.7.1	Membership records-borrowers' profile.		LCSS-LR	End of registered student relationship+ 6 years Termination of employment + 6 years	Destroy	Internal Guidance	

56.7.2	Records documenting external membership records.	Application forms, Membership forms	LCSS-LR	End of registered student relationship+ 6 years Termination of employment + 6 years	Destroy	Internal Guidance	
56.7.3	Records relating to issuing of items.	Loans records, Renewals, Reservations, Overdue items records	LCSS-LR	While current	Destroy	Internal Guidance	
56.7.4	Records documenting access to publications in other institutions.	Inter-library loan forms and copyright declarations	LCSS-LR	Current year + 6 years	Destroy	British Library	
56.7.6	Records documenting media work and support.	Requests for work; Job sheets Enquiries; Video Conferencing requests; Maintenance of audio-visual rooms; Call out records	LCSS-LR	Current year + 1 year	Destroy	Internal Guidance	
56.7.7	Media work.	Brochures; Leaflets; Videos; Photographs	LCSS-LR	While current	Review for archival value	Internal Guidance	

56.8 Learning Resources Customer Relations Management

The activities involved in managing the institution's relationships with Learning Resources customers.

Activities include: handling customer complaints; conducting customer surveys.

Ref	Description of Records	Record Examples	Ownership	Retention period	Disposal Action	Retention authority	Notes
56.8.1	Records documenting enquiries about Learning Resources services and responses given. Note: key information from substantive enquiries may be extracted and indexed to avoid repetitive research.	Enquiries	LCSS-LR	Last action on enquiry +1 year	Destroy	JISC	
56.8.2	Records documenting the handling of complaints from customers of the [corporate service].		LCSS-LR	Last action on complaint + 3 years	Destroy	JISC	Retention for a longer period may be appropriate if the complaint, or the handling of the complaint, could be a basis for legal action against the institution.
56.8.3	Records documenting unsolicited customer feedback on the [corporate service] and the responses provided.		LCSS-LR	Last action on feedback + 3 years	Destroy	JISC	
56.8.4	Records documenting the design of customer surveys and the (anonymised, if necessary) analysis of responses.	Summary of comments received	LCSS-LR	Completion of survey + 3 years	Review for archival value	JISC	
56.8.5	Individual responses to customer surveys.	Suggestions, comments and complaints forms	LCSS-LR	Completion of analysis of survey responses	Destroy	JISC	If responses identify individuals, these records must be retained in accordance with the provisions of the Data Protection Act 1998 (c.29).

STUDENT SERVICES

57 Student Services Management

The function of providing student support services.

D1 *Student service* means a service which is provided primarily for the institution's students but which may also be provided (or available) to staff. Student services may be: provided directly by the institution; provided through partnership arrangements with other institutions; provided by external organisations under contract.

N1 This is a generic business classification scheme for the function of providing a student service. It is a framework which can be customised to produce a specific business classification scheme for any type of student service which the institution provides.

Student services provided by institutions include: accommodation services; counselling services; disability services; financial advice services; employment and careers services; health services; information, advice and guidance services; welfare services.

N2 This function is intended to cover only the substantive (i.e. 'core business') aspects of providing a student service. A business unit which provides a student service will also undertake functions which appear elsewhere in this business classification scheme (e.g. Finance Management).

57.1 Student Support Services Strategy

The activities involved in developing the strategy for student support services.

Activities include: identifying requirements for new / revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.

Ref	Description of Records	Record Examples	Ownership	Retention period	Disposal Action	Retention authority	Notes
57.1.1	Records documenting the development and establishment of the institution's student support services strategy: key records.		Student Services	Superseded + 5 years	Archive	JISC	

57.1.2	Records documenting the development and establishment of the institution's student support services strategy: working papers.		Student Services	Issue of strategy + 1 year	Destroy	JISC	
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57.2 Student Support Services Policy Development

The activities involved in developing and establishing the institution's policies for the overall student support services.

Activities include: identifying requirements for new / revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Description of Records	Record Examples	Ownership	Retention period	Disposal Action	Retention authority	Notes
57.2.1	Records documenting the development and establishment of policies on the operation, management and development of student support services: key records.		Student Services	Superseded + 5 years	Archive	JISC	
57.2.2	Records documenting the development and establishment of policies on the operation, management and development of student support services: working papers.		Student Services	Issue of policy + 1 year	Destroy	JISC	

57.3 Student Support Services Procedures Development

The activities involved in developing the institution's procedures for the overall student support services.

Activities include: identifying needs for new / revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Description of Records	Record Examples	Ownership	Retention period	Disposal Action	Retention authority	Notes
57.3.1	Records documenting the development of the institution's procedures relating to student support services.		Student Services	Issue of procedures + 1 year	Destroy	JISC	
57.3.2	Master copies of procedures relating to student support services.		Student Services	Superseded + 3 years	Review for archival value	JISC	

57.4 Disability and Dyslexia Service Policy Development

The activities involved in developing and establishing the institution's policies for the disability and dyslexia service.

Activities include: identifying requirements for new / revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Description of Records	Record Examples	Ownership	Retention period	Disposal Action	Retention authority	Notes
57.4.1	Records documenting the development and establishment of policies on the operation, management and development of the disability and dyslexia service: key records.	Disability and Dyslexia Policy Statement of service	Student Service	Superseded + 3 years	Archive	JISC	

57.4.2	Records documenting the development and establishment of policies on the operation, management and development of the disability and dyslexia service: working papers.		Student Services	Issue of policy + 1 year	Destroy	JISC	
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57.5 Disability and Dyslexia Service Procedures Development

The activities involved in developing the institution's procedures for the disability and dyslexia service.

Activities include: identifying needs for new / revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Description of Records	Record Examples	Ownership	Retention period	Disposal Action	Retention authority	Notes
57.5.1	Records documenting the development of the institution's procedures relating to the disability and dyslexia service.		Student Services	Issue of procedures + 1 year	Destroy	JISC	
57.5.2	Master copies of procedures relating to the disability and dyslexia service.		Student Services	Superseded + 3 years	Review for archival value	JISC	

57.6 Disability and Dyslexia Service Operations Management

The activities involved in operating/providing the disability and dyslexia service.

Ref	Description of Records	Record Examples	Ownership	Retention period	Disposal Action	Retention authority	Notes
57.6.1	Records documenting the provision of support and assistance provided to students with disabilities and dyslexia.	Case files including Data Protection consent form, correspondence, needs assessment, medical evidence, educational psychologist report, confirmation of contact details form, Learning Support Partnership Agreement, exam contracts, correspondence with LEA about DSA funding	Student Services	Termination of relationship with student + 6 years	Destroy	1980 c.58	
57.6.2	Records relating to disability and dyslexia support workers.	Staff database	Student Services	Termination of relationship + 6 years	Destroy	Internal Guidance	
57.6.3	Records containing details of recharging the LEA.	Timesheets Calculations of time spent on providing the work and costs for charging	Student Services	Current year + 6 years	Destroy	Internal Guidance	
57.6.4	Records relating to the LCSS-LR Information Access Service.	Provision of lecture notes	LCSS-LR	Duration of course of student	Destroy	Internal Guidance	
57.6.5	Records documenting the administration of Service Agreements between Disabled Students and the LCSS-LR.	Referral forms from Student Services Service Agreement records	Student Services/LCSS-LR	Duration of course of student	Destroy	Internal Guidance	

57.6.6	Records relating to the loan of equipment to disabled students.	Loan records	LCSS-LR	Return of equipment + 3 months	Destroy	Internal Guidance	
57.6.7	Information Technology provision to disabled students.	Training records	Student Services /LCSS-LR	Duration of course of student	Destroy	Internal Guidance	
57.6.8	Records documenting the promotion of the disability and dyslexia service.	Information leaflets	Student Services	While current	Review for archival value	Internal Guidance	

57.7 Health Service Policy Development

The activities involved in developing and establishing the institution's policies for the health service.

Activities include: identifying requirements for new / revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Description of Records	Record Examples	Ownership	Retention period	Disposal Action	Retention authority	Notes
57.7.1	Records documenting the development and establishment of policies on the operation, management and development of the health service: key records.		Student Services	Superseded + 3 years	Archive	JISC	
57.7.2	Records documenting the development and establishment of policies on the operation, management and development of the health service: working papers.		Student Services	Issue of policy + 1 year	Destroy	JISC	

57.8 Health Service Procedures Development

The activities involved in developing the institution's procedures for the health service.

Activities include: identifying needs for new / revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Description of Records	Record Examples	Ownership	Retention period	Disposal Action	Retention authority	Notes
57.8.1	Records documenting the development of the institution's procedures relating to the health service.		Student Services	Issue of procedures + 1 year	Destroy	JISC	
57.8.2	Master copies of procedures relating to the health service.		Student Services	Superseded + 3 years	Review for archival value	JISC	

57.9 Health Service Operations Management

The activities involved in operating/providing the health service.

Ref	Description of Records	Record Examples	Ownership	Retention period	Disposal Action	Retention authority	Notes
57.9.1	Records documenting the registration of students with the Health Centre and details of treatment and advice received	Student registration card Data Protection Statement Nursing consultation notes	Student Services	Registration + 8 years	Destroy	Nursing and Midwifery Council Guidelines	
57.9.2	Records documenting the registration of visitors with the Health Centre and details of treatment and advice received	Visitors registration card Nursing consultation notes	Student Services	Registration + 8 years Children's records – until a child's 21 st birthday	Destroy	Nursing and Midwifery Council Guidelines	

57.9.3	Records documenting appointments	GP surgery diary of appointments book Day sheets	Student Services	Current academic year + 1 year	Destroy	Internal Guidance	
57.9.4	Records documenting the promotion of the health service.	Information leaflets	Student Services	While current	Review for archival value	Internal Guidance	

57.1 Careers Service Policy Development

The activities involved in developing and establishing the institution's policies for the careers service.

Activities include: identifying requirements for new / revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Description of Records	Record Examples	Ownership	Retention period	Disposal Action	Retention authority	Notes
57.10.1	Records documenting the development and establishment of policies on the operation, management and development of the careers service: key records.		Student Services	Superseded + 3 years	Archive	JISC	
57.10.2	Records documenting the development and establishment of policies on the operation, management and development of the careers service: working papers.		Student Services	Issue of policy + 1 year	Destroy	JISC	

57.11 Careers Service Procedures Development

The activities involved in developing the institution's procedures for the careers service.

Activities include: identifying needs for new / revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Description of Records	Record Examples	Ownership	Retention period	Disposal Action	Retention authority	Notes
57.11.1	Records documenting the development of the institution's procedures relating to the careers service.		Student Services	Issue of procedures + 1 year	Destroy	JISC	
57.11.2	Master copies of procedures relating to the careers service.		Student Services	Superseded + 3 years	Review for archival value	JISC	

57.12 Careers Service Operations Management

The activities involved in operating/providing the careers service.

Ref	Description of Records	Record Examples	Ownership	Retention period	Disposal Action	Retention authority	Notes
57.12.1	Records documenting work placement and work experience for students and graduates	Go Wales project records including beneficiary forms, placements, CVs, correspondence, induction feedback, certificates of match funding, placement proposal, contracts between the University, company and placee,	Student Services	Final payment on the programme to the UK + 3 years	Destroy	EC No. 1260/1999 Article 38	This project is funded by ESF, and HEFCW are the project managers as this is a pan Wales project. Originals of some records are kept by Finance, HR. See also Finance Management, Funding Management

57.12.2	Records documenting career advice and guidance given to adults.	Client details Action plans	Student Services	Current year + 3 years	Destroy	Internal Guidance	
57.12.3	Records documenting career advice and guidance given to students.	Student details Student interview records Guidance notes	Student Services	Current academic year + 3 years	Destroy	Internal Guidance	
57.12.4	Records containing details on employers.		Student Services	Current academic year + 2 years	Destroy	Internal Guidance	
57.12.5	Records containing details on vacancies.		Student Services	Current academic year	Destroy	Internal Guidance	
57.12.6	Records containing reports on service quality.	Monitoring and evaluation reports.	Student Services	Current year + 3 years	Destroy	Internal Guidance	
57.12.7	Records documenting the promotion of the careers service.	Information Leaflets	Student Services	While current	Review for archival value	Internal Guidance	

57.13 Counselling Service Policy Development

The activities involved in developing and establishing the institution's policies for the counselling service.

Activities include: identifying requirements for new / revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Description of Records	Record Examples	Ownership	Retention period	Disposal Action	Retention authority	Notes
57.13.1	Records documenting the development and establishment of policies on the operation, management and development of the counselling service: key records.		Student Services	Superseded + 3 years	Archive	JISC	
57.13.2	Records documenting the		Student	Issue of policy + 1	Destroy	JISC	

	development and establishment of policies on the operation, management and development of the counselling service: working papers.		Services	year			
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57.14 Counselling Service Procedures Development

The activities involved in developing the institution's procedures for the counselling service.

Activities include: identifying needs for new / revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Description of Records	Record Examples	Ownership	Retention period	Disposal Action	Retention authority	Notes
57.14.1	Records documenting the development of the institution's procedures relating to the counselling service.		Student Services	Issue of procedures + 1 year	Destroy	JISC	
57.14.2	Master copies of procedures relating to the counselling service.		Student Services	Superseded + 3 years	Review for archival; value	JISC	

57.15 Counselling Service Operations Management

The activities involved in operating/providing the counselling service.

Ref	Description of Records	Record Examples	Ownership	Retention period	Disposal Action	Retention authority	Notes
57.15.1	Records documenting counselling sessions.	Client case notes	Student Services	Last date of contact + 6 years	Destroy	British Association for Counselling and Psychotherapy Guidance	
57.15.2	Records documenting appointments.	Appointment diary	Student Services	Current academic year + 1 year	Destroy	Internal Guidance	
57.15.3	Records documenting registration of clients with the counselling service.	Registration cards	Student Services	Current academic year + 1 year	Destroy	Internal Guidance	
57.15.4	Records documenting client statistics.	Client statistic form	Student Services	Current academic year + 2 years	Destroy	Internal Guidance	
57.15.5	Records documenting the promotion of the counselling service.		Student Services	While current	Review for archival value	Internal Guidance	

57.16 International Student Support Service Policy Development

The activities involved in developing and establishing the institution's policies for the international student support service.

Activities include: identifying requirements for new / revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Description of Records	Record Examples	Ownership	Retention period	Disposal Action	Retention authority	Notes
57.16.1	Records documenting the development and establishment of policies on the operation, management and development of the international student support		Student Services	Superseded + 3 years	Archive	JISC	

	service: key records.						
57.16.2	Records documenting the development and establishment of policies on the operation, management and development of the international student support service: working papers.		Student Services	Issue of policy + 1 year	Destroy	JISC	

57.17 International Student Support Service Procedures Development

The activities involved in developing the institution's procedures for the student money service.

Activities include: identifying needs for new / revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Description of Records	Record Examples	Ownership	Retention period	Disposal Action	Retention authority	Notes
57.17.1	Records documenting the development of the institution's procedures relating to the international student support service.		Student Services	Issue of procedures + 1 year	Destroy	JISC	
57.17.2	Master copies of procedures relating to the international student service.		Student Services	Superseded + 3 years	Review for archival value	JISC	

57.18 International Student Support Service Operations Management

The activities involved in operating/providing the student money service.

Ref	Description of Records	Record Examples	Ownership	Retention period	Disposal Action	Retention authority	Notes
57.18.1	Records documenting advice, guidance and administration of immigration issues.	Visa renewal applications to the Home Office – client files including adviser covering letters, copies of sections of student application and document collection forms; Entry Clearance Correction Scheme - application forms, copies of relevant pages in students passports, correspondence, document collection forms; Notification to authorities of students who withdraw/suspend from studies - Correspondence with Faculty staff, correspondence with Immigration Authorities	Student Services	Termination of student relationship + 6 years	Destroy	1980 c.58	

For Student Money Service see Academic Administration/ Student Financial Support Administration

57.19 Accommodation Service Policy Development

The activities involved in developing and establishing the institution's policies for the accommodation service.

Activities include: identifying requirements for new / revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy

documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.

Ref	Description of Records	Record Examples	Ownership	Retention period	Disposal Action	Retention authority	Notes
57.19.1	Records documenting the development and establishment of policies on the operation, management and development of the accommodation service: key records.		Campus Services	Superseded + 3 years	Archive	JISC	
57.19.2	Records documenting the development and establishment of policies on the operation, management and development of the accommodation service: working papers.		Campus Services	Issue of policy + 1 year	Destroy	JISC	

57.20 Accommodation Service Procedures Development

The activities involved in developing the institution's procedures for the accommodation service.

Activities include: identifying needs for new / revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.

Ref	Description of Records	Record Examples	Ownership	Retention period	Disposal Action	Retention authority	Notes
57.20.1	Records documenting the development of the institution's procedures relating to the accommodation service.		Campus Services	Issue of procedures + 1 year	Destroy	JISC	
57.20.2	Master copies of procedures relating to the accommodation service.		Campus Services	Superseded + 3 years	Review for archival; value	JISC	

57.21 Accommodation Service Operations Management

The activities involved in operating/providing the accommodation service.

Ref	Description of Records	Record Examples	Ownership	Retention period	Disposal Action	Retention authority	Notes
57.21.1	Records documenting the management of letting of student accommodation.	Application forms Tenancy agreements Terminations Bonds Damages Room clearance forms Room transfer forms Inventory of rooms	Campus Services	Termination of agreement + 6 years	Destroy	1980 c.58	
57.21.2	Records documenting the arrangement of private sector housing.	Registration forms Copies of certificates Correspondence	Campus Services	Termination of registration + 6 years	Destroy	1980 c.58	
57.21.3	Records documenting the personal details of students.	Record cards containing students details, emergency contacts, photographs	Campus Services	Whilst current	Destroy	Internal Guidance	Retention must comply with the provisions of the Data Protection Act 1998.

57.21.4	Records documenting security arrangements for students accommodation.	Absence books Visitors books	Campus Services	Current + 3 months	Destroy	Internal Guidance	
57.21.5	Records documenting the administration of the halls of residence	Log books	Campus Services	Current + 5 years	Destroy	Internal Guidance	
57.21.6	Records documenting the handling and result of complaints and incidents relating to students in halls of residence	Incident sheets, Reports Correspondence	Student Services	Last action on case + 4 years	Destroy	Internal Guidance	

57.22 Student Service (name of service) Customer Relations Management

The activities involved in managing the institution's relationships with the careers service customers.

Activities include: handling customer complaints; conducting customer surveys.

Ref	Description of Records	Record Examples	Ownership	Retention period	Disposal Action	Retention authority	Notes
57.22.1	Records documenting the design and conduct of user/customer surveys for the student service.		Student Services	Completion of survey + 3 years	Destroy	JISC	
57.22.2	Results of user/customer surveys: individual responses.		Student Services	Completion of analysis of survey responses	Destroy	JISC	
57.22.3	Results of student surveys: summaries and analyses of responses.		Student Services	Completion of survey + 3 years	Review for archival value	JISC	
57.22.4	Records documenting the handling of user/customer complaints about the student service.		Student Services	Last action on complaint + 6 years	Destroy	JISC	

BUSINESS UNIT

58 Business Unit Management

The function of managing the [business unit] (D1). (N1)

D1 *Business unit* means an individual component of the institution's organisational structure which, depending on its level in the structure and on its purpose, may be called any of the following: Directorate; Division; Department; Section; Team; College; Faculty; Faculty, Unit, Centre, Institute.

N1 This is a generic business classification scheme for the function of managing a business unit. It is a framework which can be customised to produce a specific business classification scheme for managing the work of any type of business unit at any level within the institution. It is NOT designed to be used for any work relating to an institutional function or activity which is specified elsewhere in this Business Classification Scheme.

58.1 Work Planning

The activities associated with planning the work of the [business unit].

Activities include: planning the allocation of resources to tasks to draw up work schedules etc.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
58.1.1	Records documenting work allocation/scheduling (e.g. duty rosters).	Staff rotas	Business unit responsible	Current year	Destroy	JISC	
58.1.2	Desk diaries (and similar 'official' work planning/scheduling tools).	Office diaries	Business unit responsible	Current year + 1 year	Destroy	JISC	This recommended retention period assumes that diaries are used for work planning/scheduling <u>only</u> .

58.2 Work Monitoring

The activities associated with monitoring and tracking the progress of routine work, particularly against local work plans and targets.

Activities include: collecting and monitoring statistical and other data; logging transactions.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
58.2.1	Records documenting the progress of work.		Business unit responsible	Current year	Destroy	JISC	

58.3 Meetings

The activities associated with holding and administering *meetings* (D1) relating to the work of the [business unit].

Activities include: arranging meetings; preparing agenda and papers for meetings; organising agenda for meetings; recording minutes of meetings; taking / co-ordinating action to be carried out as a result of decisions made at meetings.

For meetings of institutional committees, use GOVERNANCE - NON-STATUTORY COMMITTEES.

For meetings relating to specific business functions, use the relevant function and activity section. For example, for meetings about research strategy, use RESEARCH - RESEARCH STRATEGY DEVELOPMENT.

D1 *Meetings* includes: meetings held regularly or on an ad hoc basis; internal meetings and meetings with other business units or with external organisations.

Meetings excludes: meetings of committees; meetings relating to specific business functions.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
58.3.1	Records documenting the arrangements for meetings.		Business Unit Secretary	Date of meeting	Destroy	JISC	
58.3.2	Records documenting the conduct of meetings: agenda, minutes and supporting papers: Senior Management Team.		SMT Secretary	Current year + 5 years	Destroy	JISC	
58.3.3	Records documenting the conduct of meetings: agenda, minutes and supporting papers: other Team/Section.		Business Unit Secretary	Current year + 3 years	Destroy	JISC	

58.4 Travel Administration

The activities associated with organising business travel.

Activities include: planning itineraries; arranging travel; arranging accommodation; arranging travel documentation.

Ref	Record Groups	Record Series	Ownership	Retention period	Disposal Action	Retention authority	Notes
58.4.1	Records documenting travel arrangements.		Business Unit responsible	Completion of travel + 3 months	Destroy	JISC	