



University of the Highlands and Islands

University Partnership Retention and Disposal Policy

Lead Officer (Post):	University Archivist and Records Manager
Responsible Office/ Department:	Governance and Records Management
Responsible committee:	Finance and General Purposes Committee (FGPC)
Review Officer (Post):	University Archivist and Records Manager
Date policy approved:	31/12/2018
Date policy last reviewed and updated:	18/06/2024
Date policy due for review:	30/08/2026
Date of Equality Impact Assessment:	06/01/2020
Date of Privacy Impact Assessment:	N/A

Policy Summary

<p>Overview</p>	<p>The university and university partners are subject to the Freedom of Information (Scotland) Act 2002, and Code of Practice 61 specifically requires organisations to have Records Retention Schedules covering all of their institutional records, with compliance with the S61 Code being viewed as indicative of whether an organisation has complied with the overarching legislation.</p> <p>The university partnership retention and disposal schedule clearly sets out the retention and disposal guidelines for all university partner records and documents.</p>
<p>Purpose</p>	<p>In addition to meeting our legislative and regulatory obligations, the retention and disposal schedule promotes consistency of record keeping across the university partnership</p>
<p>Scope</p>	<p>All university partnership staff and staff handling university partnership records and documents.</p>
<p>Consultation</p>	<p>University partnership practitioner groups</p>
<p>Implementation and Monitoring</p>	<p>University Archivist and Records Manager, Inverness College UHI Information Development Manager and Data Protection Officer</p>
<p>Risk Implications</p>	<p>Reputational damage and legal implications if the university partnership is found to be holding information that is not accurate or up to date</p>
<p>Link with Strategy</p>	<p>University partnership will comply with national and legal requirements for document and records retention</p>
<p>Impact Assessment</p>	<p>Equality Impact Assessment:</p>
	<p>Privacy Impact Assessment: N/A</p>

Policy Statement

The university partnership is subject to the Freedom of Information (Scotland) Act 2002, which requires organisations to have records retention schedules and disposal arrangements covering all of their institutional records, in compliance with the Freedom of Information (Scotland) Act 2002 Code of Practice 61 on records management.

The University of the Highlands and Islands partnership retention and disposal schedule is based on the model provided by the Joint Information Systems Committee (JISC) which is widely accepted as a standard for the Higher and Further Education sectors. The retention and disposal schedule has been developed following a process of consultation across the partnership.

In addition to meeting legislative and regulatory obligations, the retention and disposal schedule promotes consistency of record keeping across the university partnership, preventing duplication of records, standardising disposal of records no longer required, and clearly stating actions required at the end of the retention period as well as who is responsible for these actions. The retention and disposal policy is used to inform file maps held in SharePoint areas, and is a core document for the University Partnership Records Management Policy.

Definitions

CAY	Current academic year
CFY	Current financial year
CTY	Current tax year
Records disposal	Instructions on next steps to be taken with records
Records retention	Length of time for which records are kept
Records retention schedule periods	Document setting out the length of time each record is to be kept, and stating which regulations govern these periods

Purpose

The university partnership retention and disposal policy will ensure the university partnership meets all its legislative and regulatory requirements for retaining and disposing of documents and records. It will also ensure record keeping is consistent across the university partnership and for all staff handling university partnership documentation.

Scope

This policy applies to everyone processing university partnership information.

Exceptions

This policy applies to all university partnership records.

Notification

Anyone handling university partnership documents and records should be notified about this policy. This includes external examiners, organisations where we have data sharing agreements in place etc. Access will be provided to this policy through the policies section on the University home page on SharePoint, and notification will be through the university partnership, practitioner groups and through the university Yammer account.

Roles and Responsibilities

Ownership lies with the University Archivist and Records Manager, in conjunction with university partnership records management staff. Each university partner is responsible for ensuring the documents and records contained within their area are accurate and up to date.

Procedures

1. Review SharePoint document libraries and check all document libraries are listed on file map
2. Check classification scheme term and retention period against retention and disposal schedule then with the University Archivist and Records Manager to ensure records and documents have been assigned correct level
3. Check all documents and records that have reached the end of their retention period and implement review actions as instructed
4. Check with department SharePoint Owners before deleting any documents or records

Related policies

Policy on Records Management

Policy on Data Protection

Guidelines on Keeping of Research Records

Introduction

The retention and disposal schedule applies to records and documents in all formats. Activity has been divided up into functions, with a general category for five common areas of activity (Strategy, Policies, Procedures, Contract Management, Customer relations, feedback and surveys).

Where functions are shared between areas, this approach allows areas that carry out the same functions to treat their records in a consistent fashion, providing enough flexibility for the structure of the University to change over time, while the functions of the institution remain fairly similar, meaning the retention schedules will remain current.

The types of records created by each function are systematically defined and described. Descriptions are followed by a recommended period of retention. If the retention of the records is determined by an Act of Parliament, Statutory Instrument etc., this is detailed in the column headed "Citation". The final column indicates the actions to be taken when a stated retention period is reached:

Destroy – check with partner records management staff, head of department or department SharePoint Owners before destroying any records or documents. Non confidential paper documents and records can be disposed of in green waste bins. Confidential paper documents and records should be disposed of in blue confidential waste bins provided, or shredded. For large quantities of paper records, please contact records management staff for advice.

Review – check with records management staff, head of department or department SharePoint Owners for instructions

Transfer to University Archive – contact local records management staff, or University Archivist and Records Manager for EO records for instructions on transfer to the University archive facilities.

NOTE. Any text highlighted in yellow indicates where the schedule has been updated to reflect the 2019 changes made to the [JISC FE/HE records retention schedule](#)

Records Retention tables

GENERAL

Ref	Description	Retention	Citation	Action	UHI Classification tag
0	0. GENERAL These functions are common to categories 1-41 unless otherwise indicated				
0.01	Strategy				
0.01	Strategy - Business plan, action plan	Superseded + 10 years	JISC guidelines	Transfer to University Archive once approved	Strategy
0.02	Policy				

	Policies	Superseded	University partnership guidelines	Transfer to University Archive once approved	Policy
0.03	Procedures				
0.03	Procedures eg. Death of a student Prevent	Superseded + 5 years	JISC guidelines	Transfer to University Archive once approved	Procedures
0.04	Complaints (Non student)				
0.04	Complaints, the internal handling of those complaints and the responses provided. Complaints reporting. See SPSO guidelines for more information	Last action on complaint + 6 years	University partnership guidelines	Destroy	Complaints
0.05	Guidance				
0.05	Guidance and guidelines	Superseded	University partnership guidelines	Review, then transfer to University archive or delete	Guidance
0.06	Forms				
0.06	Forms	Superseded	University partnership guidelines	Review, then transfer to University archive or delete	Forms

0.07	News, conferences and briefings				
0.07	Briefings Conferences, presentations for conferences News Newsletters Updates Calendars Calendar of events	Superseded	University partnership guidelines	Review, then transfer to University archive or delete	News, conferences and briefings
0.08	Background research				
	Records of identifying and exploring new business opportunities which lead to university partnership activities	Completion of project	JISC guidelines	Review, then transfer to University archive or delete	Background research
0.09	Projects				
	Internally funded projects, not Research Directorate or external body funded	Completion of project	JISC guidelines	Review, then transfer to University archive or delete	Internally funded projects (not Research Directorate or external body funded)
0.010	Reports				
0.010	Reports	Superseded	JISC guidelines	Review, then transfer to University	Reports

				archive or delete	
0.011	Enquiries				
	General enquiries, or enquiries submitted through ITDI support service (Unidesk) to departments, except as specified elsewhere in this University Partnership Retention and Disposal policy	CAY + 1 AY	University Partnership	Review for relevance, screen for GDPR compliance if recorded elsewhere, or delete	Enquiries

STUDENT ADMINISTRATION

Ref	Description	Retention	Citation	Action	UHI classification tag
1	STUDENT ADMINISTRATION Scope: Recruitment and administration of the student population				
See 0 General for the retention periods and actions for strategy, policy, procedures, complaints, forms, news, conferences and briefings					
1.01	Student Administration				
1.01	Blank forms, templates	While current	University Partnership guidelines	Review, then transfer to University	Student Administration Templates

				archive or delete	
1.02	Student Recruitment				
1.02	Records of the design, conduct and summary results of student recruitment campaigns, schemes and events - Marketing	Completion of campaign/scheme/event + 3 years	University Partnership guidelines	Review then destroy or transfer to University archive	Student Recruitment Schemes, Campaigns and Events
	Records of the issue of student recruitment materials in bulk to schools and other organisations - Prospectuses (Marketing) - Leaflets (Marketing)	CAY	JISC guidelines	Destroy	Student Recruitment Materials Issue
	Records of the handling of enquiries from students - Course information line (Information line) - Reports from call logging system	CAY + 1 year	JISC guidelines	Destroy	Prospective Student Enquiries
	Summaries and analyses of enquiry data, non-anonymised	CAY	JISC guidelines	Destroy	Student Enquiry Data
	Summaries and analyses of enquiry data, non-anonymised. Access restricted to control group only	CAY + 4 years	University partnership guidelines	Destroy	UniDesk Data

	Summaries and analyses of enquiry data (statistical, operational, anonymised)	CAY + 5 years	University partnership guidelines	Destroy	Student Recruitment Data
	Summaries and analyses of data from enquiries used for recruitment purposes by Marketing - anonymised	CAY + 5 years	JISC guidelines	Destroy	Enquiry and Recruitment Data – Marketing
1.03	Student Admissions				
1.03	Records of developing and establishing admission criteria	Superseded + 10 years	JISC guidelines	Transfer to University Archive once approved	Admissions Criteria
	Admissions - successful applications (with the exception of applications from international students, see separate entry)	End of student relationship + 6 years	1973 c.52	Destroy	Successful Admission Applications
	International student applications. Currently held electronically centrally and paper copies locally.	End of student relationship + 1 year	University Partnership guidelines and UK Border Agency advice	Destroy	International Student Applications
	All other applications	CAY + 1	University partnership guidelines	Destroy	Student applications – Non-international

Admissions statistics - unsuccessful applications (non-anonymised)	Completion of admissions process + 1 year	University Partnership guidelines	Destroy	Unsuccessful/Successful Admission Applications Statistics non-anonymised
Admissions statistics - unsuccessful applications (anonymised)	CAY + 6 years	University partnership guidelines	Destroy	Unsuccessful Admission Applications - Anonymised
Admissions record held in SITS	7 years after end of relationship for non-European project funded students NB. 12 years for European project funded students	University partnership guidelines	Review then transfer to University Archive once approved	SITS Admissions record
PVG – SITS. PVG number is recorded on SITS record Update: <ul style="list-style-type: none"> Counter-signatories to request report from Disclosure Scotland by emailing Margaret Boyle – Margaret.Boyle@disclosurescotland.gov.scot . You will need to provide your Registered Body Code and your CSG Code when asking for this report. This report should confirm which applicants/students we have an interest with. 	End of course + 1 year	University partnership guidelines	Destroy	PVG SITS

<ul style="list-style-type: none"> • Heather (MIS) and Maureen to look at existing ADMOP061 Clearance Checks report and amend to include fields that would give information to show if the student/applicant was current/not current etc and which additional fields would be required. • Counter-signatories to raise unidesk ticket to get the PVG information removed from SITS fields for students/applicants who are not current – this will be done in bulk by MIS • It was agreed that this would happen twice a year at the beginning of May and November. • MIS will let us know when they are ready for the first bulk removal of information 				
<p>PVG – paper</p>	<p>Receipt of PVG + 1 month. EXCEPTION Oral Health and Teacher training - end of enrolment</p>	<p>University partnership guidelines</p>	<p>Destroy</p>	<p>PVG</p>
<p>PVG risk assessment Procedure for Nursing: copy shared with Nursing, considered as part of Fitness to Practice, then retained by Nursing Support</p>	<p>End of programme or until superseded</p>	<p>University partnership guidelines</p>	<p>Destroy</p>	<p>PVG Risk Assessment</p>

	Records documenting the administration of the clearing process – Successful candidates - Information line - Admissions (Applications downloaded from UCAS system to consider request)	CAY + 1	JISC guidelines	Destroy	Clearing - Successful
	Records documenting the administration of the clearing process – Unsuccessful candidates - Information line - Admissions (Applications downloaded from UCAS system to consider request)	End of clearing process	JISC guidelines	Destroy	Clearing – Unsuccessful
	Recognition of prior learning	While enrolled	University partnership guidelines	Destroy	Recognition of Prior Learning
	UKVI. Immigration casework/compliance for students, including the retention of immigration permission from students	Last interaction on casework + 6 years or Permanent withdrawal + 6 years	OISC Code of Standards 2016	Destroy	Immigration casework
1.04	Student Records Administration				
1.04	Student registrations - Cohort student files (Department of Nursing): end of cohort Communities of Practice 1-6 documentation Any occupational health referrals or reports Any skin report Any progress review or fitness to practise	End of registered student relationship with institution	University partnership guidelines Retention must comply with the	Destroy	Individual Student Registrations

documentation Batch files (good health good character; index forms; practice agreement forms; media release forms; withdrawal or suspension if applicable) NB. Final Department of Nursing student reference to be retained for End of student relationship + 3 years		provisions of the UK Data Protection Act 2018		
Records containing summaries and analyses of data on registration of students on programmes – anonymised FTE (pseudo-anonymised)	CAY + 5 years	JISC guidelines	Destroy	Student Registration Data Summaries
Records containing anonymised data on overall student numbers	CAY + 5 years	University partnership guidelines	Review and destroy or transfer to University archive	Overall Student Numbers
Student enrolment information - consent forms (enrolment) - medical forms	End of course	University partnership guidelines	Destroy	Student Enrolment Consent - Medical
Student enrolment information - next of kin information - UCAS statements/referee information	CAY (End of Year)	University partnership guidelines	Destroy	Student Enrolment Form

- Non-PLSP or funding related documents uploaded via UHI Records				
Student enrolment data - Direct debit mandates - Interview data	CAY (End of Year)	University partnership guidelines	Destroy	Student Enrolment Data
Statutory returns HESA, FES, SFC	CAY + 6 years	University partnership guidelines	Review then transfer to University Archive	Statutory returns
This is the minimal record kept to provide references for former students and should be retained for the lifetime of the student (80 years). The core (minimal) transcript should be transferred to the university archive and retained indefinitely. For details on what may constitute the core student record see: - The European Credit Transfer and Accumulation System (ECTS) User Guide 2015 - What Is a Student Record? A Case Study by King’s College London, Appendix IV For more details on the HEAR, see the HEAR website and ‘Beyond the Honours Degree – the Burgess Group Final Report’ (October 2007) - Guidelines for HE Progress Files, QAA (2001) - Guide to the Diploma Supplement, UK HE	CAY	1973 c.52 Retention must comply with the provisions of the UK Data Protection Act 2018	Transfer to University Archive	Core Student Record

Europe Unit (2006)				
PAT list Contact details for students, list of courses, not held in SITS	CAY	University partnership guidelines	Destroy	PAT list
SITS student record This is the minimal record kept to provide references for former students and may be retained for the lifetime of the student (80 years). A core (minimal) transcript may be retained indefinitely after this time and transferred to the archive if the institution has one. This depends on the requirements of the individual institution and their archival facilities/policies. The core record may vary according to the policy of each institution but is likely to contain name and dates of study, modules studied, and the qualifications conferred.	See Core Student Record and SITS retention policy for breakdown of tables at Appendix 1	JISC and University partnership guidelines	Destroy or transfer to University archive as instructed	SITS data

	Records of the handling of requests for ad hoc analyses of data from individual students' records	Last action on request +1 year	JISC guidelines	Destroy	Ad Hoc Individual Student Data Analyses Requests
	Records of the handling of individual students' requests for statements of results/transcripts. Transcripts will be produced from SITS on request, no local copies should be retained.	CAY	University partnership guidelines	Destroy	Individual Students Statements of Results and Transcripts Requests
	Records of the handling of requests for confirmation of individual students' awards, attendance or conduct from employers and other educational institutions, Transcripts will be produced from SITS on request, no local copies should be retained.	CAY	University partnership guidelines	Destroy	Individual Students Statements of Results and Transcripts Requests
	Highland Senior Phase documentation, includes: Absences; Admissions; Enrolments; Marketing materials; Meetings and agendas; Tracking	CAY + 1 year	University partnership guidelines	Destroy	Highland Senior Phase documentation
1.05	Student Progress Administration				
1.05	Records of the academic progress of individual students and formal action taken to deal with unsatisfactory progress	Termination of relationship with student + 6 years	University partnership guidelines	Destroy	Unsatisfactory Student Progress Actions
	Records of the academic progress of individual students - Department of Nursing student file - PAT support documents	Termination of relationship with student, then request for transcript from SITS/ Termination of	University partnership guidelines	Destroy	Student Progress Actions

		relationship with student			
	Records of individual students transferring to new programmes or to new courses within programmes - Student/PAT completed transfer forms HE	End of relationship with student + 6 years	University partnership guidelines	Destroy	Student Transfers - HE
	Records of individual students transferring to new programmes or to new courses within programmes - Student/PAT completed transfer forms FE	End of relationship with student + 2 years	University partnership guidelines	Destroy	Student Transfers - FE
	Records of the termination of individual student's studies	End of relationship with student + 6 years	JISC guidelines	Destroy	Individual Student Withdrawal
	Records of individual student's withdrawals	End of relationship with student + 6 years	JISC guidelines	Destroy	Individual Student Withdrawal
	Student references (Department of Nursing) Other student references	Graduation + 3 years	University partnership guidelines, Nursing and Midwifery Council	Destroy	Student references
1.06	Student Disciplinary Case Handling				
	Records of the conduct and results of disciplinary proceedings against individual Academic Misconduct	Last action on case + 6 years	JISC guidelines	Destroy	Individual Student Disciplinary Proceedings

	Fitness to practice Report and Fitness to Practice Panel conclusions	Until graduation	University partnership guidelines	Destroy	Fitness to practice
	Fitness to practice panel evidence Evidence submitted to the Fitness to Practice Panel	Date of communication of outcome to student + 6 weeks	University partnership guidelines	Destroy	Fitness to practice panel evidence
1.0 7	Student Academic Appeal Handling				
	Records of the handling and results of by individual students	Last action on case + 6 years	JISC guidelines	Destroy	Academic Appeals
1.0 8	Student Complaint Handling				
	Records of the handling of formal complaints by individual students Red Button then into complaints procedure	Last action on case + 6 years	JISC guidelines	Destroy	Formal Student Complaints
	Records of the handling of complaints by individual students where the formal complaints procedure is not initiated Red Button	Last action on case + 3 years	JISC guidelines	Destroy	Informal Student Complaints
1.0 9	Course administration				

1.0 9	Records of the timetabling of teaching and management of teaching space CELSCAT	CAY + 1 year NOTE. With the exception of AYs 2019-20, and 2020-21, which cover the period of the Covid pandemic. These AYs should be retained for an additional academic year	University partnership guidelines	Destroy	Timetabling and Management of Teaching Space
	Class/tutorial lists	CAY	JISC guidelines	Destroy	Class/Tutorial Lists
	Cohort lists (Department of Nursing) - Original intake list - Current list - List of students with Personal Academic Tutor	End of programme	University partnership guidelines	Destroy	Cohort Lists
	Schedules for submission, marking and return of coursework	CAY	JISC guidelines	Destroy	Submission, Marking and Coursework Return Schedules
	Records of individual students' submission of coursework	CAY + 1 year	JISC guidelines	Destroy	Individual Coursework Submission Records
	Records of individual students' attendance	CAY + 1 year	JISC guidelines	Destroy	Attendance Lists
	Course and Modern Apprenticeship tracking – registration forms, initial assessments, training agreements, individual training plans, review, payment spreadsheets, bank detail forms, frameworks	CAY + 1 year	JISC guidelines	Destroy	Course tracking

	Records of the organisation of students' work placements - InPlace (Department of Nursing) - InPlace exceptional circumstances	CAY + 5 years	Nursing and Midwifery Council	Destroy	Work Placements - Nursing
	Records of the organisation of students' work placements HN courses Teaching placements Work placements	CAY	University partnership guidelines	Destroy	Work Placements
1.1 0	Assessment Administration				
1.1 0	Records of the development and establishment of assessment and examination rules and procedures	Superseded + 10 years	JISC guidelines	Transfer to University Archive	Academic Assessment and Examinations Procedures
	Records of the design and delivery of training for examination invigilators	CAY + 1 year	JISC guidelines	Destroy	Assessment Administration
	Records of the control of examination papers and examination scripts	CAY + 1 year	JISC guidelines	Destroy	Assessment Administration
	Records of the timetabling of examinations	CAY + 1 year	JISC guidelines	Destroy	Assessment Administration
	Records of the organisation of examination facilities, including special arrangements for students with special needs	CAY + 1 year	JISC guidelines	Destroy	Assessment Administration

Records of individual students' attendance at examinations, and the handling of reports of mitigating circumstances	CAY + 1 year	JISC guidelines	Destroy	Assessment Administration
Records of the collation of examination results and compilation of pass lists and individual notifications of results	CAY + 1 year	JISC guidelines	Destroy	Assessment Administration
Records of individual students' submission of assessed work and handling of reports of mitigating circumstances	CAY + 1 year	JISC guidelines	Destroy	Assessment Administration
Pass lists/Awards lists	Issue of lists + 10 years	JISC guidelines	Transfer to University Archive: Consider implications of 1998 c.29	Pass Lists/Awards lists

1.11	Examination Board Administration			
	Records of exam boards administration. Agendas, minutes, papers, confirmation of assessment results and outcomes – taught degree provision	CAY + 6 years	University Partnership guidelines	Transfer to University Archive Examination Board Committee Business Documentation
	Mitigating circumstances claims and repeat year applications. Special arrangements for examinations for students	CAY + 1 year	JISC guidelines	Destroy Assessment Administration
	Recognition of prior learning (RPL) applications and awarding of academic credits	CAY + 2 years	University Partnership guidelines	Destroy RPL

	Exam board meeting arrangements	CAY + 1 year	University Partnership guidelines	Destroy	Examination Board Meeting Arrangements
1.12	External Examiners Administration				
	Records of the selection and appointment of external examiners: appointed	End of appointment + 5 years	University Partnership guidelines	Destroy	External Examiners Appointed
	Records of the selection of external examiners: not appointed	Date of receipt + 2 years			External Examiners Not appointed
1.12	Records of liaison with external examiners on administrative matters	CAY + 1 year	JISC guidelines	Destroy	External Examiners Administration
1.13	Student Award Ceremony Administration				
1.13	Records of the organisation of award ceremonies	Completion of ceremony + 1 year	JISC guidelines	Destroy	Student Award Ceremony Organisation
	Records of the production of award certificates	Completion of ceremony + 1 year	JISC guidelines	Destroy	Student Award Certificate Production
	Records of the mailing of award certificates to students who do not attend ceremonies	Completion of ceremony + 1 year	JISC guidelines	Destroy	Student Award Certificate Mailing
1.14	Student Relations Management				
1.14	Records of the establishment and operation of staff-student liaison committees/groups, eg. Class rep groups	Life of committee/group + 3 years	JISC guidelines	Transfer to University Archive	Staff-Student Liaison Committees/Groups

Records of the election and/or appointment of student representatives to committees/groups, eg. Class rep groups	Completion of next election	JISC guidelines	Destroy	Student Representative Election and/or Appointment
Records of the design of, and overall responses to, student suggestion schemes Red Button	Closure of scheme + 5 years	JISC guidelines	Transfer to University Archive	Student Suggestion Schemes
Records of the handling of suggestions from individual students Red Button	Last action on suggestion + 1 year	JISC guidelines	Destroy	Individual Student Suggestions

STUDENT SERVICES MANAGEMENT

Ref	Description	Retention	Citation	Action	UHI classification tag
2	STUDENT SERVICES MANAGEMENT Scope: Providing services to support students throughout their relationship with the university partner.				
	See General retention schedule for the retention periods and actions for Strategy, Policy, Procedures and Complaints				
2.01	Student Service Planning and Quality Management				
	Records of planning a student service - British Sign Language	CAY + 5 years	JISC guidelines	Transfer to University Archive	Student Service Planning
	Records of developing and establishing service standards for a student service	Superseded +1 year	JISC guidelines	Destroy	Student Service Standards
	Data on and analyses of the quality of service delivered against established service standards PQAG – PLSP quality assurance group records	CAY	JISC guidelines	Destroy	Student Service Analysis

	Reports on service quality	CAY + 3 years	JISC guidelines	Transfer to University Archive	Student Service Quality Reports
	Records of the conduct and results of independent reviews of service quality, and the responses to the results - Employer Evaluations - Student Evaluations	CAY + 5 years	JISC guidelines	Transfer to University Archive	Student Service Reviews
	Student service delivery	While current	University partnership guidelines	Transfer to University Archive	Student service delivery
	Practitioner and Working Groups. Agendas, Minutes, Papers etc Student Engagement: Class rep groups Student Engagement Group Student Support: Student Support Group Equally Safe Working Group Hardship and Finance Group Inclusive Practitioner Network (Disability Practitioner Group; BSL Group) Priority Groups Forum (Care Leavers and Student Carers) Safeguarding Group Student Health and Wellbeing Group PQAG (Redundant)	CAY + 3 years	JISC guidelines	Transfer to University Archive	Committee Business Documentation
2.02	Student Service Promotion				
	Records of promoting a student service, eg. Student volunteering	While current	JISC guidelines	Review then Transfer to	Student Service Promotion

	Student case studies CEC informational and marketing leaflets and documents Student support promotion and marketing materials			University Archive	
	Student Support				
2.03	PAT support and coordination				
	Email distribution list of PAT names and emails	While current	University partnership guidelines	Destroy	PAT Support and Coordination
	PAT Annual Development Day Attendance list deleted after the event	CAY + 5 years	University partnership guidelines	Transfer to University Archive	PAT Development
	PAT online resource	CAY	University partnership guidelines	Transfer to University Archive	PAT Online Resource
2.04	Student Support Development				
	Student Support Annual Development Day Attendance list deleted after the event Agendas, papers presented at events, any recordings of events	CAY + 5 years	University partnership guidelines	Transfer to University Archive	Student Support Development
2.05	Disability Practitioners Development				
	Disability Practitioners Annual Development Day Attendance list deleted after the event	CAY + 5 years	University partnership guidelines	Transfer to University Archive	Disability Practitioners Development
2.06	Counselling Service				

	Eg. CBT, session notes, dates and numbers of sessions, includes online and in person counselling. Includes counselling casebooks, outcome measure forms (e.g. Core 34, GAD, PHQ9 etc), Self-referral Questionnaire – part of counselling record	End of relationship + 3 years	1980	Destroy	Counselling
2.07	Counselling, Student Wellbeing and PLSP				
	PLSPs Evidence to support diagnosis e.g. doctor’s letters C2P contract data	End of relationship + 3 years	University partnership guidelines	Destroy	Learning Support PLSP
	Personal Learning Support Plan (PLSP) Existing SITS AAM record will remain in SITS until deleted	End of student relationship + 7 years End of student relationship + 12 years for EU projects. See description for which SITS fields this retention applies to.	University partnership guidelines	Destroy	Learning Support PLSP (SITS)
	Counselling casebooks	End of relationship + 3 years	1980	Destroy	Counselling

	Outcome measure forms (e.g. Core 34, GAD, PHQ9 etc) – part of counselling record	End of relationship + 3 years	1980	Destroy	Online counselling Counselling provision
	Self-referral Questionnaire	End of relationship + 3 years	1980	Destroy	Online counselling Counselling provision
	Appointment made by student	End of relationship + 3 years	University partnership guidelines	Destroy	Student appointments
	Generic wellbeing support services provided to students in the short term. Wellbeing casebook	End of relationship + 3 years	1980	Destroy	Student Wellbeing Support
	General ad hoc student support GBV Gender Based Violence record	End of relationship + 3 years	University partnership guidelines	Destroy	Student Support
	Care experienced student support plan Care experienced casebook	End of relationship + 7 years	University partnership guidelines	Destroy	Care experienced student support plan

	Estranged student support plan Estranged student casebook (Target Connect)	End of relationship + 7 years	University partnership guidelines	Destroy	Estranged student support plan
	Applicant support	Check with MIS			
	Feedback forms		JISC guidelines	Transfer to University Archive	Student Service Reviews
2.07	Corporate Parenting				
	Plans, reports (published online)	CAY + 3 years	Children and Young People (Scotland) Act 2014	Transfer to University Archive	Corporate Parenting
	Care experienced student support plan Care experienced casebook	End of relationship + 7 years	University partnership guidelines	Destroy	Care experienced student support plan
	Estranged student support plan Estranged student casebook	End of relationship + 7 years	University partnership guidelines	Destroy	Estranged student support plan

	Student carers support plan Student carers casebook (Target Connect)	End of relationship + 7 years	University partnership guidelines	Destroy	Student carers student support plan
2.08	Student Wellbeing Support				
	Other forms of generic wellbeing support services provided to students in the short term, Self-referral Questionnaire. General ad hoc student support.	End of relationship	University partnership guidelines	Destroy	Student Wellbeing Support
	See Target Connect section for updated guidance				
2.09	Student Enquiries				
	Designated Student enquiries mail inbox	Once processed	University partnership guidelines	Destroy	Student Support Enquiries
	Appointment made by student	Once processed	University partnership guidelines	Destroy	Student appointments
	See Target Connect section for updated guidance				
2.10	Careers and Employability				

	Careers Events	CAY + 1 year	University partnership guidelines	Destroy	Careers Events
	Employer Visits	CAY + 1 year	University partnership guidelines	Transfer to University Archive	Employer Visits
	Employer database	Whilst current	University partnership guidelines	Destroy	Employer Database
2.11	Student Engagement				
	Student Partnership Agreement - includes work towards the agreement, agreement, working groups, actions, minutes, agendas, end of year report	CAY (AY end of year report is completed)	University partnership guidelines	Review then Transfer to University Archive	Student Partnership
	Student engagement activities: annual visits from externals, visits to colleges, supporting colleges or students with student engagement, training activities	CAY	University partnership guidelines	Review then Transfer to University Archive	Student Engagement Activities
	Mentoring and peer support activities eg. setting up peer support groups or one to one mentoring. Documents relating to current year, training materials, information sheets, handouts etc	CAY	University partnership guidelines	Review then Transfer to University Archive	Student-Employer Mentoring and Peer Support
	Mentoring and peer support activity certification	When created	University partnership guidelines	Transfer to SITS record	Student-Employer Mentoring and Peer Support Certification

2.12	Non Academic Student Awards				
	Eg. Duke of Edinburgh	End of relationship	University partnership guidelines	Destroy	Non-academic student awards
2.13	Recognition of Prior Learning				
	Recognition of prior learning. Includes training and information documentation, advice	End of relationship	University partnership guidelines	Destroy	Recognition of Prior Learning
2.14	External Articulation and Progression Agreements				
	Agreements with other colleges and institutions on progression routes from FE to HE study	CAY	University partnership guidelines	Review then Transfer to University Archive	External Articulation and Progression
2.15	Prevent				
	Anti-radicalisation related records	Not held	University partnership guidelines	Not held	N/A

ALUMNI RELATIONS MANAGEMENT

For dealing with individual former students (e.g. for confirmation of awards), use the appropriate section of **1: Student Administration**.

For fundraising activities targeted at alumni, use the appropriate section of **7: Fundraising**.

Ref	Description	Retention	Citation	Action	UHI classification tag
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3	ALUMNI RELATIONS MANAGEMENT Scope: Maintaining and fostering relationships with alumni				
	See General retention schedule for the retention periods and actions for Strategy, Policy, Procedures and Complaints				
3.01	Alumni Records Administration				
	Records with personal data on individual alumni Raiser’s Edge	While current (or likely to be current)	JISC. Note: Retention must comply with provisions of UK Data Protection Act 2018	Review, then transfer to University Archive or delete	Individual Personal Alumni Records
	Records with personal data on individual alumni SITS export with alumni data Graduation cards	Until uploaded into Raiser’s Edge	University Partnership guidelines	Delete	Graduate Data for Alumni
	Summary (anonymised) statistical records of alumni	CAY + 10 years	JISC guidelines	Transfer to University Archive	Anonymised Statistical Alumni Records
3.02	Alumni Communication Management				
	Records of the design, planning and production of official alumni communications	While current + 1 year	University Partnership guidelines	Review, then transfer to University Archive or delete	Alumni Communications Management Design and Planning

	Alumni communications Alumni newsletter (electronic) Alumni magazine (some printed) Benefits card (some printed)	Issue + 1 year	JISC guidelines	Transfer to University Archive	Alumni communications
3.03	Alumni Events Management				
	Records of the organisation and administration of institutional events for alumni Records (emails, other electronic records) destroyed- information entered into Raiser's Edge	Completion of event + 1 year	JISC guidelines	Destroy	Alumni Events Planning and Organisation
	Records documenting the planning and impact/results of institutional events for alumni	Completion of event + 3 years	JISC guidelines	Destroy	Alumni Events Impact Assessment
3.04	Alumni Support				
	Records of the administration of financial and other support to individual alumni organisations	CFY + 1 year	JISC guidelines	Destroy	Alumni Organisation Support
	Records of the administration of financial and other support to alumni organisations	CFY + 1 year	JISC guidelines	Destroy	Alumni Organisations Support Administration
	Records of requests for contact details for alumni, action taken and the responses provided	Last action on request + 1 year	JISC guidelines	Destroy	Alumni Contact Details Requests

LEARNING AND TEACHING

Ref	Description	Retention	Citation	Action	UHI classification tag
4	LEARNING AND TEACHING Scope: Providing teaching to deliver the taught programmes, including FE, undergraduate and postgraduate programmes leading to awards				
	See General retention schedule for the retention periods and actions for Strategy, Policy, Procedures and Complaints				
4.0 1	Teaching Quality and Standards Management				
	Records of the development of internal quality assurance processes	While current	JISC guidelines	Transfer to University Archive	Internal Quality Assurance Processes
	Records of the conduct and results of formal internal and external reviews and audits of teaching quality, and responses to the results, with the exception of: - Education Scotland	CAY + 5 years	University partnership guidelines	Transfer to University Archive	Teaching Quality Reviews
	Records of the conduct and results of formal internal and external reviews and audits of teaching quality, and responses to the results: - Education Scotland	CAY + 3 years	University partnership guidelines	Transfer to University Archive	Teaching Quality Reviews - Other

	Note. Changes expected in 2021-22				
	Documentation relating to guidance to support teaching quality actions, eg. assessment support packs, SQA/HN queries, other awarding bodies	Superseded	University partnership guidelines	Review, then transfer to University Archive or delete	Teaching quality guidance
4.02	Taught Curriculum Development				
	Records of developing the taught curriculum	Superseded	JISC guidelines	Review, then transfer to University Archive	Taught curriculum development
	Records of monitoring external developments and trends to inform the development of the taught curriculum. Committee records.	See committee retention	JISC guidelines	Destroy	Academic Committee documentation
4.03	Taught Curriculum and Programme Approval and Review				
	Records of routine, ad-hoc and self-evaluation documentation on the taught curriculum from staff, students, external examiners and others, for example, module, programme/course, subject network, service reports, subject review	CAY + 5 years	University partnership guidelines	Review, then transfer to University Archive or delete	Taught curriculum approval and review

Records of the conduct and results of formal reviews of the taught curriculum, and the responses to the results, for example, Formal independent taught programme reviews External verification reports (e.g. SQA and other awarding bodies) ELIR, QAA, Education Scotland	CAY + 5 years	University partnership guidelines	Transfer to University Archive	Formal taught curriculum and programme approval and review
Records of obtaining approval for taught curriculum. Includes approval of programme teaching teams for academic programmes	CAY + 5 years	University partnership guidelines	Destroy	Taught curriculum approval and review
Appointment of staff members to programme and module leadership roles. Includes cv, personal statement and supporting statement from academic partner. Note. Personal statement and supporting statement from academic partner form part of the paper presented to the Faculty Board.	Completion of appointment process	University partnership guidelines	Destroy	Module/Programme leader appointment
Module descriptors and programme specification documents	CAY + 5 years	University partnership guidelines	Review and transfer to University Archive	Module/Unit Descriptors and Programme Documentation

	Academic standards and quality regulations	CAY + 5 years	University partnership guidelines	Transfer to University Archive	Academic standards and quality regulations
	Records of the conduct and results of learning support service reviews, and the responses to the results - Employer Evaluations - Student Evaluations	CAY + 5 years	JISC guidelines	Transfer to University Archive	Learning Support Service Reviews
4.04	Taught Curriculum Accreditation				
	Records of obtaining approval and/accreditation for taught programmes from professional, statutory or other accreditation bodies	CAY + 10 years	University partnership guidelines	Transfer to University Archive	Taught curriculum accreditation
4.05	Taught Programme Delivery				
	Teaching and learning materials	CAY + 5 years	University partnership guidelines	Review then transfer to University Archive or destroy	Taught Programme Material Preparation
	Records of planning and conduct of teaching and learning events Timetables	CAY + 5 years	University partnership guidelines	Review then destroy or transfer to University Archive.	Taught Programme Teaching and Learning Events

			Consult University Archivist and Records Manager	
Recordings of taught sessions. Recordings of taught sessions should only be retained in the Recordings folder in designated MS Teams SharePoint areas. Where a lecturer is not able to record a session which requires a PLSP recording, the student making the recording may store the recording in their UHI OneDrive area, and the lecturer should record this on the LTA OneDrive recordings register	Date of creation plus one academic year, unless converted into a Reusable Learning Object (RLO)	University partnership guidelines	Destroy	Taught Programme Recordings
Programme handbook	End of programme	University partnership guidelines	Transfer to University Archive	Programme/Course handbook
Course information	End of course	University partnership guidelines	Transfer to University Archive	Course information
Teaching and learning course SharePoint and Teams areas. Note. Teaching and learning activities are conducted through the VLE. These	End of academic year	University partnership guidelines	Destroy	Taught course SharePoint-Teams areas

	SharePoint-Teams areas are currently only for collaboration				
4.06	Taught Course Assessment - HE				
	Records of developing taught course assessments and final versions of taught course assessments	Life of course	JISC guidelines	Transfer to University Archive	Taught Programme Student Assessment Development
	Module coursework specifications	Life of course	JISC guidelines	Transfer to University Archive	Module Coursework Specifications
	Module examination scripts	Life of course	JISC guidelines	Transfer to University Archive	Module Examination Scripts
	Recordings of assessments	CAY + 1 year	University partnership guidelines	Destroy	Assessments – electronic not in VLE
	Recordings of assessments submitted through the VLE	CAY + 5 years	University partnership guidelines	Destroy	Assessments – VLE
	Recordings of assessments: external examiner sample	CAY + 3 years	University partnership guidelines	Destroy	Assessments – sample
	Recordings of assessments: external examiner sample held in VLE	CAY + 5 years	University partnership guidelines	Destroy	Assessments – sample VLE
	Student work - coursework with cover and return sheets – paper	CAY + 1 year	University partnership guidelines	Destroy	Assessments – paper
	Student work - coursework with cover and return sheets – electronic, not in VLE	CAY + 1 year	University partnership guidelines	Destroy	Assessments – electronic not in VLE

Includes: - Online surveys completed by students				
Student work - coursework with cover and return sheets - electronic, through VLE Includes: - Online surveys completed by students - recordings of assessments Nursing Practice Assessment Document (scanned and uploaded/downloaded from PAD/EPAD annually and uploaded into BrightSpace)	CAY + 5 years	University partnership guidelines	Destroy	Assessments – VLE
Student work - coursework with cover and return sheets. External examiner sample – paper, non-electronic, not in VLE	CAY + 3 years	University partnership guidelines	Destroy	Assessments – sample not in VLE
Student work - coursework with cover and return sheets. External examiner sample in VLE	CAY + 5 years	University partnership guidelines	Destroy	Assessments – sample VLE
Student work - exam scripts – paper	CAY + 1 year	University partnership guidelines	Destroy	Exam scripts – paper
Student work - exam scripts – electronic, not in VLE	CAY + 1 year	University partnership guidelines	Destroy	Exam scripts – electronic, not in VLE
Student work - exam scripts - electronic, in VLE Includes audiovisual recordings	CAY + 5 years	University partnership guidelines	Destroy	Exam scripts – VLE

Student work - exam scripts. External examiner sample. Not in VLE, electronic and paper	CAY + 3 years	University partnership guidelines	Destroy	Exam scripts – sample not in VLE
Student work - exam scripts. External examiner sample. VLE	CAY + 5 years	University partnership guidelines	Destroy	Exam scripts – sample VLE
Taught programme dissertations/research projects (levels 9,10, 11), paper	CAY + 1 year	University partnership guidelines	Destroy	Assessments – paper
Taught programme dissertations/research projects (levels 9,10, 11), electronic	CAY + 1 year	University partnership guidelines	Transfer to University Archive	Assessments – electronic, not in VLE
Taught programme dissertations/research projects (levels 9,10, 11), paper, electronic, non-electronic, not in VLE. External examiner sample	CAY + 3 years	University partnership guidelines	Transfer to University Archive	Assessments – sample not in VLE
Taught programme dissertations/research projects (levels 9,10, 11) – submitted through VLE	CAY + 5 years	University partnership guidelines	Transfer to University Archive	Assessments - VLE
Records and supporting documentation for exam and progression board results and outcomes.	CAY + 6 years	University partnership guidelines	Transfer to University Archive	Assessment Board Results and Outcomes
Records of the conduct of formal assessments of work undertaken by research students	Completion of student’s programme + 6 years	1973 c.52	Destroy	Formal Research Student Assessments

Level 11 Masters by research dissertations/projects – paper, non-electronic	Permanent	University Partnership guidelines	Send to Home Academic Partner Library	Level 11 Masters by research dissertations/projects – non-electronic
Level 11 Masters by research dissertations/projects – electronic, VLE	Permanent	University Partnership guidelines	Process in VLE/University SharePoint Assessments Sharing area, transfer to University Archive when complete	Level 11 Masters by research dissertations/projects - electronic
Level 12 Research theses – paper, non-electronic	Permanent	University partnership guidelines	Send to Home Academic Partner Library	Level 12 Research theses - non-electronic
Level 12 Research theses – electronic, VLE	Permanent	University partnership guidelines	Transfer to University Archive, University’s research repository, British Library	Level 12 Research theses - electronic

	Taught Course Assessment – FE (Note. Includes Work-based learning)				
	Taught student coursework and assessments	See current regulations for awarding bodies. For SQA assessments, see: Retention of candidate assessment records table.pdf (sqa.org.uk)	Awarding Body guidelines	See current regulations for awarding bodies	Taught Course Assessment – FE
	Student portfolios: electronic Note: deleted by teaching staff at end of course + awarding body guidelines	End of course + awarding body guidelines	Awarding Body guidelines	Delete	Student portfolio - electronic
	Student portfolios: paper Note: move to long term storage. Return to student or destroy at end of course + awarding body guidelines	End of course + awarding body guidelines	Awarding Body guidelines	Return to student or dispose of in confidential recycling	Student portfolio - paper
	Navigator report for SQA FE courses	End of course + 1 calendar month. Check with current regulations for awarding bodies	Awarding Body guidelines	See current regulations for awarding bodies	Navigator
4.07	Taught Student Academic Monitoring Support (Tutorial and PAT support)				
	Records of feedback on academic progress, and general academic guidance and support, given to individual taught students – HE/FE	Completion of student programme + 6 years	University partnership guidelines	Destroy	Taught Programme Academic Progress Feedback and Support

4.08	Learning Support				
	Activities involved in developing learning support resources	Life of resource + 2 years	JISC guidelines	Transfer to University Archive	Learning Support Resource Development
	Online Essential Student Skills Resource	Life of resource + 2 years	JISC guidelines	Transfer to University Archive	Learning Support Resource
	Learning support resource review	While current	University partnership guidelines	Transfer to University Archive	Learning Support Resource Review
	Records of activities involved in providing learning support Disabled Student Allowance (DSA) (HE only). Quality forms: Paper Electronic records held on SITS, see SITS retention	CAY + 1 year	University partnership guidelines	Destroy	Learning Support DSA
	Personal Learning Support Plan (PLSP) Held in SITS C2P contract data	End of student relationship + 7 years End of student relationship + 12 years for EU projects	University partnership guidelines	Destroy	Learning Support PLSP
	Support (Fitness) to study Evaluation recorded during PAT and Student support sessions and processed	CAY + 1 year	University partnership guidelines	Destroy	Support to Study

	accordingly Related procedure: Support for Study				
	Fitness to practice Good health and character and performance in practice	Until graduation or exit from programme	University partnership guidelines	Destroy	Fitness to Practice
	Skin check records	Date of last surveillance action + 40 years	1973 c.52 S.I.1999/3242 See also: Health surveillance - Skin at work: Work-related skin disease - HSE	Destroy	Identifiable Individuals Health Records

RESEARCH

Ref	Description	Retention	Citation	Action	UHI classification tag
5	RESEARCH Scope: Undertaking research and delivering supervised research programmes				
	See General retention schedule for the retention periods and actions for Strategy, Policy, Procedures and Complaints				
5.01	Research Quality and Standards Management				
	Internal quality assurance processes and procedures Quality assurance process records (REC for ethics; good practice for researchers	While current	JISC guidelines	Transfer to University Archive	Research Quality Assurance Procedures

(Vice-principal Research; codes of practice)				
<p>Records of the conduct and results of formal internal and external reviews of research quality and standards, and responses to the results</p> <p>REF (Research Excellence Framework) documentation. NOTE. Any personal data collected for REF will only be retained until submission, publication of REF results and audit are complete. See REF privacy notice for more details.</p> <p>Research degree reviews</p> <p>RDAP accreditation and approval</p> <p>Annual postgraduate research report</p> <p>PRES (Postgraduate Research Experience Survey) results</p> <p>Research Degrees Committee</p> <p>Research and Knowledge Exchange Committee</p> <p>UHI cluster committees</p> <p>Research Forum</p> <p>REC Applications (includes supporting documentation):</p> <p>1. Undergraduate/Taught Postgraduate/Masters students (including non clinical postgraduate taught from the School of Health, Social Care and Life Sciences)</p> <p>2. Undergraduate/Taught</p>	<p>Award of title or completion of research project</p>	<p>University partnership guidelines</p>	<p>Transfer to University Archive</p>	<p>Research Quality Reviews</p>

	<p>Postgraduate/Masters, MRes Doctoral level clinical students</p> <p>3. Doctoral and Masters level research students (excluding clinical)</p> <p>4. UHI School of Health, Social Care and Life Sciences staff projects (includes clinical)</p> <p>5. UHI sponsored staff Health projects (includes clinical)</p> <p>6. UHI non Health staff projects</p> <p>7. UHI non funded staff projects (excluding clinical)</p>				
5.02	Research Business Development				
	<p>Records of liaison with research sponsors to monitor their research policies and to promote the University partner's capabilities</p> <p>Knowledge Exchange activity documentation</p>	CAY + 5 years	JISC guidelines	Destroy	Research Sponsor Liaison
	<p>Records of identifying and exploring new research opportunities which lead to research projects</p> <p>Knowledge Exchange activity documentation</p>	Completion of project	JISC guidelines	Review, then transfer to University Archive	Research Opportunities Exploration
	<p>Records of identifying and exploring new research opportunities which do not lead to research projects</p> <p>Research Professional subscription</p>	Last action + 5 years	JISC guidelines	Destroy	Unsuccessful New Research Opportunities Exploration

	Knowledge Exchange activity documentation – sectoral leads				
	Records of forming and managing partnerships and other collaborative arrangements to undertake research eg. HiLife Highland documentation (Castle Project, Nuclear Archive)	Life of partnership/ arrangement + 6 years	1973 c.52	Transfer to University Archive	Research Partnerships
5.03	Research Project Development				
	Records of the design of research projects and the preparation of formal research project proposals which lead to research projects Pre-award Grants and Contracts Research Ethics Committee REF Impact case studies Global Challenges Research Fund Industrial Strategy	Completion of project	JISC guidelines	Transfer to University Archive	Successful Research Project Design Records
	Records of the design of research projects and the preparation of formal research project proposals which do not lead to research projects Pre-award Grants and Contracts	Abandonment of plans + 1 year	JISC guidelines	Transfer to University Archive	Unsuccessful Research Project Design
	Research project documents during the preparatory stage before submission for a bid	Submission	University partnership guidelines	Review, then relabel as successful or unsuccessful project design records	Research Project Bid
5.04	Research Conduct				

Retention requirements for research data and records is determined taking account of:									
<ul style="list-style-type: none"> - the legal and regulatory framework for particular types of research - the terms and conditions imposed by external research sponsors - the commercial, political or ethical sensitivity of particular types of research, or any research for particular external sponsors 									
Final reports of all research projects	Publications	Grants and Contracts post-award documentation	Publication of final report Completion of post-award documentation	University partnership guidelines	Transfer to University Archive	Final Research Results			
Research working papers	Individual researcher level		Completion of project	JISC guidelines	Transfer to University Archive	Research Work			
5.05 Research Project Management									
Records supporting research applications	- Pre-award Grants and Contracts	- Post-award Grants and Contracts	- Research Ethics form	- Research Office reviews	- Research cluster reviews	Completion of project	University partnership guidelines	Transfer to University Archive	Research Ethics Application
Records supporting research applications	- Advance notification form	- Pre-award Grants and Contracts	Return of documentation to Research Office + 1 year	University partnership guidelines		Destroy		Research Application Support	
Internally-funded research projects	eg. Research Teaching Linkage;	Department of Nursing research projects;	UHI Funded Health Research and innovation Research	Completion of project	University partnership guidelines	Transfer final reports to University Archive then review and either transfer to University		Internally Funded Research Project Documentation	

			archive or destroy	
Research work conducted as part of university partner business	Completion of project	University partnership guidelines	Transfer final reports to University Archive then review and either transfer to University archive or destroy	Research Work
Externally-funded research projects	Completion of project	External funder retention guidelines	Transfer final reports to University Archive then review and either transfer to University archive or destroy	Externally Funded Research Project Documentation
Records documenting the management of EU funded research projects	Date of last funding payment + 10 AYS to demonstrate state aid (or lack of). However this may vary according to the national archiving laws (see p. 105 of Interreg Europe Programme	See ERDF website and individual project agreements with funding bodies. Interreg Europe Programme Manual, 19	Transfer final reports to University Archive then review and either transfer to University archive or destroy	EU funded research projects

		Manual 19, December 2018, version 6	December 2018 (version 6)		
	Database of personal information of participants collected for the purposes of research or to support practice learning (Optometry). All instances of personal information collection must be notified and agreed with the University Archivist and Records Manager and the University's Data Protection Officer and held, managed and curated as described in the Data protection impact assessment.	While current	University guidelines	Research participant data: anonymise as soon as possible. Optometry volunteer patient database: delete as soon as no longer current	Personal information research database
5.06	Research Dissemination				
	Records of announcements of research results other than in publications or through the media Interim reports Paper	Issue of announcement + 1 year	JISC guidelines	Destroy	Research Results Announcements
	Records of the preparation of publications, audio-visual presentations, demonstrations or other means of disseminating research results Research Ethics Committee PURE register Lectures Interim findings	UHI funded - Publication/delivery + 1 year. Other organisation funded - disposal in line with funder retention period. Check with Records Management	JISC guidelines	Destroy	Research Results Working Papers

		before taking action			
	Final versions of publications, presentations etc PURE (institutional research repository)	Publication	University partnership guidelines	Transfer to University Archive (PURE + University Archive)	Final Research Results Publications and Presentations
	Final versions of publications and presentations made to disseminate research results (not interim or final research reports)	Publication	University partnership guidelines	Transfer to University Archive (PURE + University Archive)	Research Reporting
5.07	Research Exploitation				
	Records of identifying new intellectual property and liaison with specialists regarding applications for patents etc	Last action on issue + 5 years	JISC guidelines	Transfer to University Archive	Intellectual Property Liaison
	Records of identifying opportunities for commercial exploitation of research results and liaison with specialist staff regarding formation of spin-out companies to develop commercial products	Last action on issue + 5 years	JISC guidelines	Transfer to University Archive	Commercial Exploitation of Research Results
5.08	Research Programme Development				
	Records of developing research programmes	Life of programme	JISC guidelines	Transfer to University Archive	Research Programme Development
	Records of routine monitoring of external developments and trends to inform the development of research programmes	CAY + 1 year	JISC guidelines	Destroy	Routine External Developments Monitoring

5.09	Research Programme Review				
	Records of data on and analyses of student numbers and other programme statistics	CAY + 3 years	JISC guidelines	Destroy	Research Programme Student Numbers and Statistics
	Records of data on and analyses of student numbers and other programme statistics – anonymised	Completion of analysis	JISC guidelines	Transfer to University Archive	Research Programme Student Numbers and Statistics - anonymised
	Reports of routine internal or formal independent reviews of research programmes and the responses to the results	Completion of review	JISC guidelines	Transfer to University Archive	Routine Research Programme Reviews
5.10	Research Student Progress Monitoring and Assessment				
	Progress monitoring and progression points – Postgraduate Office records	Completion of student's programme + 6 years	University Partnership guidelines	Destroy	Progress Monitoring and Progression Records
	Records of the conduct of formal assessments of work undertaken by research students	Completion of student's programme + 6 years	1973 c.52	Destroy	Formal Research Student Assessments
	Level 11 Masters by research dissertations/projects (paper)	Award of title	University Partnership guidelines	Send to Home Academic Partner Library	Level 11 Masters by research dissertations/projects (paper)
	Level 11 Masters by research dissertations/projects (electronic)	Award of title	University Partnership guidelines	Send to University Archive	Level 11 Masters by research dissertations/projects (electronic)
	Level 12 Research theses (paper)	Award of title	University partnership guidelines	Send to Home Academic Partner Library	Level 12 Research theses (electronic)

	Level 12 Research theses (electronic)	Award of title	University partnership guidelines	Send to University Archive	Level 12 Research theses (paper)
	Records of awards and classifications including reviews in response to notifications of mitigating circumstances or academic appeals	CAY + 6 years	1973 c.52	Archive	Research Student Awards and Reviews
5.11	Research Student Academic Supervision and Support				
	Research student file	End of student relationship + 6 years			
	Records of the appointment of supervisors for research students	End of appointment + 3 years	University partnership guidelines	Destroy	Research Supervisor Appointments
	Records of academic advice and guidance to individual students on the selection of research subjects and on the progress and standard of their work	Completion of student's programme + 6 years	1973 c.52	Destroy	Research Student Guidance
	Records of developing and delivering training in research-related skills	CAY + 5 years	JISC guidelines	Destroy	Research Student Training

EDUCATION AND TRAINING AS A COMMERCIAL SERVICE

Ref	Description	Retention	Citation	Action	UHI classification tag
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6	Education and Training as a commercial service Scope: The function of managing educational and training services provided by the university partner to the general public or external organisations on a commercial basis to generate income.				
	See General retention schedule for the retention periods and actions for Strategy, Policy, Procedures and Complaints				
6.01	Education and Training Programme Administration				
	The activities involved in administering education and training programmes, eg. Business Development Unit commercial courses provision	CAY + 5 years	JISC guidelines	Transfer to University Archive	Education and Training Administration
6.02	Education and Training Programme Development				
	The activities involved in developing education and training programmes.	Life of training + 5 years	JISC guidelines	Archive	Education and Training Programmes
6.03	Education and Training Programme Delivery				
	Educational and training material preparation	CAY + 6 years	JISC guidelines	Destroy	Education and Training Material Preparation
	Education and training records, digital artefacts and supporting documentation. Includes project documentation at conclusion of project	While current	University partnership guidelines	Archive	Education and Training Material Records
	Education and training events	CAY + 6 years	University partnership guidelines	Archive	Education and Training events
6.04	Education and Training Programme Review				
	The activities involved in reviewing education and training programmes to inform ongoing programme development.	CAY + 6 years	JISC guidelines	Archive	Education and Training Review

6.04	Education and Training Contract Management				
	Education and training contracts negotiation	CAY + 5 years	University partnership guidelines	Destroy	Education and Training Review

FUNDRAISING

Ref	Description	Retention	Citation	Action	UHI classification tag
7	FUNDRAISING AND FUNDING DEVELOPMENT Scope: Raising revenue additional to that provided by the main funding bodies, to support and develop the estate, activities and operations.				
	See General retention schedule for the retention periods and actions for Strategy, Policy, Procedures and Complaints				
7.01	Fundraising and Donor management				
	Records of the design, conduct and summary results of fundraising campaigns. Invitations, seating plans, biographies, guest lists, attendance lists	Last action on campaign + 5 years	JISC guidelines	Transfer to University Archive	Fundraising Campaigns
	Interaction with donors. Note. Request for donations is not considered interactions.	Last interaction + 5 years	JISC guidelines	Transfer to University Archive	Donor record

Records of negative individual responses to fundraising campaigns. Retain name and identifier to confirm no further action	Completion of analysis of data	1998 c.29	Destroy	Negative Individual Responses to Fundraising Campaigns
Withdrawal of consent register. Retain name and identifier to confirm no further action	Retain indefinitely	1998 c.29	Permanent record	Withdrawal of consent
Records of positive individual responses to fundraising campaigns	Completion of analysis of data	University partnership guidelines	Transfer to University Archive	Individual Responses to Fundraising Campaigns
Records documenting donations to the university	Current Academic Year + 5 years	University partnership guidelines	Transfer to University Archive	Donations
Correspondence with donors	When issued	University partnership guidelines	Archive	Correspondence with donors

COMMUNICATIONS AND EXTERNAL RELATIONS

Ref	Description	Retention	Citation	Action	UHI classification tag
8	COMMUNICATIONS AND EXTERNAL RELATIONS Scope: Raising and maintaining the university partner’s public profile, and managing its relationships with groups or individual members of the public. Maintaining relations with the media. Internal communications				
	See General retention schedule for the retention periods and actions for Strategy, Policy, Procedures and Complaints				

8.01	Internal Communications Management				
	Communications with academic partners, internal communications newsletters, change communications, translations of internal communications, awards	CAY + 5 years	University partnership guidelines	Transfer to University Archive	Internal communications
	Records of the planning and organisation of internal briefings and events	CAY + 5 years	University partnership guidelines	Transfer to University Archive	Internal Communications Briefings
	Monitoring and analysis of media coverage	CAY + 5 years	University partnership guidelines	Transfer to University Archive	Internal Communications Monitoring
	Gaelic language translations for the university partnership	CAY + 5 years	University partnership guidelines	Transfer to University Archive	Gaelic language translations
8.02	Public Event Management				
	Records of the planning and impact/results of public events/official visits , eg. seating plans	Completion of event + 3 years	University partnership guidelines	Transfer to University Archive	Public Events/Official Visits
	Records of the administration of public events/official visits, eg catering requests	Completion of visit + 1 year	University partnership guidelines	Review then transfer to University Archive or destroy as appropriate	Public Events/Official Visits Administration
8.03	Donations Management				

	Identifying potential recipients for materials which the institution wishes to dispose of by donation; liaising with potential donors; officially transferring donated materials.	Duration of relationship + 6 years	JISC guidelines	Transfer to University Archive	Donor Management
	Records of the process of making donations to third parties	Last action on donation + 6 years	JISC guidelines	Transfer to University Archive	Donations Made to Third Parties
	Records documenting the handling of enquiries about making donations to the institution	Last action on enquiry + 1 year	JISC guidelines	Destroy	Donation enquiries
	Records documenting donations to the institution	Current Academic Year + 5 years	JISC guidelines	Review, then transfer to the University Archive	Donation records Development Office
8.04	Communications Guides				
	Records documenting the development of corporate style guides for official and institutional communications	While current	JISC guidelines	Transfer to University Archive	Communications guides
8.05	Sponsorship Management				
	Records of negotiating corporate sponsorship for public events by the university partner	Termination of sponsorship + 6 years	JISC guidelines	Transfer to University Archive	Sponsorship
8.06	Award Administration and Management				

	Nominations for awards, honorary awards and decisions made on individual nominations	CAY + 1 year	JISC guidelines	Transfer to University Archive	Awards Nominations
	Administration of award processes and events	Conferment of award + 1 year	JISC guidelines	Delete	Awards Administration
8.07	Media Communications Management				
	Records of media contacts. Should be held in the crm system	Superseded	JISC guidelines	Destroy	Media Contacts
	Records of the planning and organisation of media briefings	Last action on briefing + 1 year	JISC guidelines	Destroy	Media Briefings
	Records of the planning and organisation of media interviews	Last action on interview + 1 year	JISC guidelines	Destroy	Media Interviews
	Media briefings and interviews, transcripts, translations	Last action on briefing/interview + 1 year	University partnership guidelines	Review then Send to University archive or delete	Media Briefings and Interviews
	Press releases. This includes articles, blogs, statements to and for the press, guidelines on how to respond to these	Issue + 5 years	JISC guidelines	Transfer to University Archive	Press Releases
	Media enquiries, the handling of these enquiries and responses provided	Last action on enquiry + 5 years	JISC guidelines	Destroy	Media Enquiries
	Records of monitoring and analysing media coverage	Creation + 5 years	JISC guidelines	Transfer to University Archive	Media Coverage Monitoring

8.07	Media Communications Management				
	Records documenting the development of the institution’s Gaelic language plan	Permanent	Gaelic Language (Scotland) Act 2005	Transfer to University Archive	Gaelic Language Plan
	Records documenting the implementation of the institution’s Gaelic language plan	CAY + 6 years	Limitation Act 1980	Transfer to University Archive	Gaelic Language Plan implementation
	Records monitoring and auditing the implementation of the institution’s Gaelic language plan	Completion of next audit + 3 years	JISC	Transfer to University Archive	Gaelic Language Plan implementation Monitoring

HE/FE SECTOR RELATIONS MANAGEMENT

Activities include: establishing and maintaining membership of professional associations, learned bodies and other organisations; participating in the activities of these organisations; liaising and collaborating with other institutions on projects of mutual interest.

Ref	Description	Retention	Citation	Action	UHI classification tag
9	HE/FE SECTOR RELATIONS MANAGEMENT Scope: Managing relationships with other HE institutions, other educational institutions, professional associations and learned bodies in the HE/FE sector.				
	See General retention schedule for the retention periods and actions for Strategy, Policy, Procedures and Complaints				

9.01	HE/FE Sector Communications Management				
	Records of general communications with other HE/FE institutions, other educational institutions, professional associations and learned bodies	CAY + 5 years	JISC guidelines	Transfer to University Archive	Communications with Other HE/FE Institutions
	Records of producing publications specifically intended for the HE/FE sector Publications	Publication + 1 year	JISC guidelines	Transfer to University Archive	HE/FE Publications
	General enquiries from institutions and other bodies in the sector, the internal handling of those enquiries and the responses given	Last action on enquiry + 1 year	JISC guidelines	Transfer to University Archive	Other Institution Enquiries
9.02	HE/FE Sector Relations Event Management				
	HE/FE events organisation	Completion of event + 3 years	JISC guidelines	Review for archival value then transfer to University archive or destroy	HE/FE Events Organisation
	Photographs of student minors and under 18 eg. Vocational pathway student photos	Retain until student reaches 19 years of age	University Partnership Guidelines	Seek renewed consent to retain. If consent is not provided, destroy photo	Photographs of student minors and under 18s
	Records of the organisation, planning and impact/results of events for the HE sector	Completion of event + 3 years	JISC guidelines	Review for archival value	Student of the Year

	-Student of the Year			then transfer to University archive or destroy	
	Graduation and award ceremony media and photos	Completion of event + 3 years	JISC guidelines	Transfer to University archive	Graduation and Award ceremony media
9.03	HE/FE Sector Representation				
	Records of establishing and maintaining corporate or individual (institutionally-funded) membership of professional organisations and other organisations	Renewal/ end of membership + 1 year	JISC guidelines	Transfer to University Archive	Institution's Memberships
	Records of official representation on committees of professional and other organisations in the sector	Organisation membership end + 1 AY	JISC guidelines	Review, then transfer to University Archive or delete	Participation in External Organisations
9.04	HE/FE Sector Collaboration				
	Records of establishing and managing collaborative relationships with organisations in the HE and FE sectors, in the UK and elsewhere.	Termination of contractual relationship + 6 Academic years	JISC guidelines	Transfer to University Archive	HE/FE Collaboration
9.05	HE/FE Sector Consultation				

	Records documenting the preparation of the institution's formal responses to consultations conducted by HE/FE sector organisations (including records of internal consultation processes).	Last action on consultation + 1 AY	JISC guidelines	Transfer to University Archive	Formal HE/FE consultation response documentation
	Institutions formal responses to consultations conducted by HE/FE sector organisations	Last action on consultation + 3 AY	JISC guidelines	Transfer to University Archive	Formal HE/FE consultation response

LOCAL COMMUNITY RELATIONS MANAGEMENT

For formal dialogue with the local community through governing bodies etc, use the appropriate section of **15: Governance**

Ref	Description	Retention	Citation	Action	UHI classification tag
10	COMMUNITY RELATIONS MANAGEMENT Scope: Establishing, maintaining and fostering relationships with the local community, covering local government, charities, and other organisations, generally carried out by Communications and External Relations, Principal’s Office etc.				
	See General retention schedule for the retention periods and actions for Strategy, Policy, Procedures and Complaints				
10.01	Community Communication Management				
	Enquiries or feedback from members of the local community and the responses provided	Last action on enquiry + 1 year	JISC guidelines	Destroy	Community Enquiries and Feedback
10.02	Community Relations Event Management				

	Records of the planning, organisation and impact / results of events for the local community	Completion of event + 3 years	JISC guidelines	Review then transfer to University Archive and destroy	Community events organisation
10.03	Community Relations				
	Records of engagement with the community	Completion of event + 3 years	JISC guidelines	Review then transfer relevant to University Archive and destroy non-relevant documents	Community engagement
	Records of engagement with the employer community	Completion of event + 3 years	JISC guidelines	Review then transfer relevant to University Archive and destroy non-relevant documents	Employer engagement
	Records of key accounts for the university	Completion of event + 3 years	JISC guidelines	Review then transfer relevant to University Archive and destroy non-	Key accounts

				relevant documents	
	Records documenting the institution's membership of local community organisations	Termination of membership + 1 year	JISC guidelines	Review then transfer relevant to University Archive and destroy non-relevant documents	Local community organisation membership
	Records documenting the institution's participation in the activities of local community organisations (including committees)	Termination of involvement + 1 year	JISC guidelines	Review then transfer relevant to University Archive and destroy non-relevant documents	Local community organisation

CUSTOMER RELATIONS MANAGEMENT, SURVEYS AND FEEDBACK

Ref	Description	Retention	Citation	Action	UHI classification tag
11	<p>CUSTOMER RELATIONS MANAGEMENT, SURVEYS AND FEEDBACK Scope: Monitoring relationships with customers</p>				

	See General retention schedule for the retention periods and actions for Strategy, Policy, Procedures and Complaints				
11.01	Customer Relations Management				
	Employer, staff and external contacts details eg. CRM system Emergency contact details	While current	University partnership guidelines	Review annually	Contact Details
11.02	Surveys and Feedback Please note that UHI surveys should only be conducted using the JISC online survey tool. The Outlook calendar can be used for any scheduling of meetings				
	Records of the design and conduct of surveys	Completion of survey + 3 years	JISC guidelines	Transfer to University archive	Surveys and Analysis Design
	Results of surveys: individual responses Red Button Development Office alumni survey	Completion of analysis of survey responses	JISC guidelines	Destroy	Individual Survey Responses
	Results of surveys: summaries and analyses of responses – anonymised NSS Red Button DSA student feedback survey Ethnicity and gender analyses Development Office alumni survey	Completion of survey + 5 years	JISC guidelines	Transfer to University Archive	Anonymised Survey and Analysis Summaries
	Unsolicited feedback, the internal handling of the feedback and responses provided Red button (anonymised)	Last action on feedback + 3 years	JISC guidelines	Destroy	Unsolicited Feedback

MARKETING

Ref	Description	Retention	Citation	Action	UHI classification tag
12	MARKETING Scope: Marketing the university partner and its educational programmes.				
	See General retention schedule for the retention periods and actions for Strategy, Policy, Procedures and Complaints				
12.01	Marketing Workflow Management				
	Records documenting the design, implementation and review of marketing activity. Job bags (Leaflet, prospectus, other activities)(Includes staff, student and alumni profile data and images)	Completion of activity + 3 years	JISC guidelines	Review then destroy or transfer to University archive (Personal and Sensitive personal data to be reviewed in line with privacy notices and processed accordingly)	Marketing Activity
12.02	Identity and Brand Management				

	Records documenting the design of the institutions' corporate identity and brand marks (logos etc.). Brand rules; Master identity files etc Images used for banners, identity management	Superseded	JISC guidelines	Transfer to University Archive	Corporate identity and brand marks
12.03	Advertising Management				
	Documentation of the development, placement and impact of paid for advertising and its impact	CAY + 5 years	JISC guidelines	Transfer to University Archive	Advertising Impact

WEB AND DIGITAL

Ref	Description	Retention	Citation	Action	UHI classification tag
13	WEB AND DIGITAL Scope: Institutional web pages				
	See General retention schedule for the retention periods and actions for Strategy, Policy, Procedures and Complaints				
13.01	Web Page Management				
	Institutional web pages	Superseded	University Partnership guidelines	Transfer to University Archive	Institutional web pages
13.02	Social Media Management				

	Social media?	Superseded	JISC guidelines	Transfer to University Archive	Social media management
13.03	Third Party Digital Tools				
	Google Analytics, Search Engine	Superseded	University Partnership guidelines	Destroy	Third Party Digital Tools

ICT MANAGEMENT – INFORMATION TECHNOLOGY AND DIGITAL INFRASTRUCTURE (ITDI)

Ref	Description	Retention	Citation	Action	UHI classification tags
14	ICT SERVICES Scope: For providing information services to staff, students and other users of the university partner’s information systems				
	See General retention schedule for the retention periods and actions for Strategy, Policy, Procedures and Complaints				
14.01	ITDI/ICT Systems and Development				
	Initial development and post-implementation modification and maintenance of systems	Decommissioning of system + 5 years	JISC guidelines	Transfer to University Archive	Systems Development and Post-Implementation Modification and Maintenance
	Initial development of systems which are not implemented	Last action on development + 5 years	JISC guidelines	Destroy	Non-Implemented Systems

	Management of systems development projects (i.e. project management records) LIS projects HESA Data Futures Software evaluation and review TechOne	Termination of project + 5 years	University Partnership guidelines	Transfer to University Archive	Systems Development Projects
14.02	ITDI/ICT Operations Management				
	Routine monitoring and testing of the operation of systems, and action taken to rectify problems and optimise performance	CAY +1 year	JISC guidelines	Destroy	Systems Monitoring
	Faults reported by users of LIS systems, and actions taken to rectify problems and optimise performance	Last action on fault + 1 year	JISC guidelines	Destroy	Systems Faults
	Management of system data storage, including the operation of routine data backup, archiving and deletion routines	CAY + 1 year	JISC guidelines	Destroy	System Data Storage
	User requests to recover data from backup or archive stores, and action taken	Last action on request + 3 months	JISC guidelines	Destroy	User Data Recovery Requests
	Maintenance of appropriate software licences for live LIS systems	Issue of new licence	JISC guidelines	Destroy	Software Licences
	Helpdesk requests (non-anonymised)	CAY + 3 years	University partnership guidelines	Destroy	UniDesk Requests
	Active Directory database. Staff and externals contact details	While current	University partnership guidelines	Destroy	Staff and Externals contact details

14.03	ITDI/ICT Systems Security Management				
	Security arrangements for IT systems	Decommissioning of system + 5 years	JISC guidelines	Destroy	Security
	Opening, maintenance and closure of user accounts for IT systems	Closure of account + 1 years	JISC guidelines	Destroy	User Accounts
	Routine monitoring of the use of TI systems to ensure compliance with legal requirements and institutional policies	CAY + 1 years	JISC guidelines	Destroy	LIS Compliance Monitoring
	Attempted or actual security breaches of IT systems and action taken	Last action on incident + 1 year	JISC guidelines	Transfer to University Archive	Systems Security Breaches
	Requests for, and authorisation of, third party access to or connections of third party equipment to the university partner networks, on institutional premises, networked areas or via dial-up communications links eg. External user accounts	Termination of access/connection + 1 year	JISC guidelines	Destroy	Third Party Access and Connections
	Removal / return of mobile IT systems hardware and software from / to University Partner premises	Return of equipment + 3 months	JISC guidelines	Destroy	LIS Systems Removal/Return
	Equipment, systems, software and asset register	While current	University Partnership guidelines	Archive	IT asset register
	Arrangements for the sanitisation of institutional IT equipment prior to disposal	Disposal of equipment + 1 year	JISC guidelines	Destroy	LIS Equipment Sanitisation

	Network points. IT infrastructure locations. IT maps	While current	University Partnership guidelines	Archive	IT infrastructure maps
14.04	ITDI/ICT Systems User Support				
	Development of technical and application training for IT system users	Superseded + 1 year	JISC guidelines	Destroy	Technical and Application User Training
	Technical documentation for IT systems and software	Superseded + 1 year	JISC guidelines	Destroy	LIS/ICT technical documentation
	User requests for technical and application support and assistance provided	Last action on request + 1 year	JISC guidelines	Destroy	Technical and Application User Training Requests
14.05	Management Information Analysis and Reporting				
	Management information reports	While current	University partnership guidelines	Destroy	Management information reports
14.06	Management Information Collection				
	Dataset specifications and protocols for submission and collation of data	While current	University partnership guidelines	Destroy	Dataset specifications and protocols for submission and collation of data
14.07	IT service reports				

	IT service administration reports	While current	University partnership guidelines	Review then transfer to University archive or delete	IT Service reports
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ARCHIVES AND RECORDS MANAGEMENT

Ref	Description	Retention	Citation	Action	UHI classification tags
15	Records Management Scope: for providing records management services to staff				
	See General retention schedule for the retention periods and actions for Strategy, Policy, Procedures and Complaints				
15.01	Records Creation and Capture				
	Records documenting record keeping requirements for individual business activities and processes EU funding document retention guidelines	Superseded + 6 years	1973 c.52	Review then transfer to University Archive	Recordkeeping Requirements
15.02	Records Organisation and Description				
	Records documenting classification and indexing schemes for records. Activities include: developing business classification schemes; developing file plans; developing thesauri; developing metadata schemes - SharePoint department/section area fileplans (template) - Business classification schemes for	Superseded + 6 years	JISC guidelines	Review then transfer to University Archive	Classification and Indexing Schemes

	reference				
15.03	Records Storage and Handling				
	Records documenting storage locations of records - accessions list - box lists	Superseded	JISC guidelines	Review then transfer to University Archive	Storage Locations
	Records documenting the movement of records to/from storage - picklists - box lists - records return request form	Return of records + 1 year	JISC guidelines	Review then transfer to University Archive	Records Movement
15.04	Records Access Control				
	Records documenting the provision of access to records	Date of access + 1 year	JISC guidelines	Review then transfer to University Archive	Records Access Control
15.05	Records Retention				
	Records documenting the determination of retention periods for records - draft retention schedules	Completion of revised Records Retention Schedule + 1 year	JISC guidelines	Destroy	Records Retention Period Definition
	Final versions of Records Retention Schedules	Life of Institution	JISC guidelines	Review then transfer to University Archive	Records Retention Schedules

	Records documenting the review of individual records to determine requirements for ongoing retention, where records are disposed of	Life of records + 25 years	JISC guidelines	Destroy	Records Retention Reviews
15.06	Records Maintenance				
	Records of conservation work undertaken on records	Disposal of records	JISC guidelines	Transfer to University Archive	Records Conservation
15.07	Records Disposal				
	Records of authorisation for the disposal of redundant business records - authorisation to destroy - disposals log - certificate of destruction	Life of records + 25 years	JISC guidelines	Transfer to University Archive	Redundant Records Authorisation
	File maps	Superseded	University partnership guidelines	Consult University Archivist and Records Manager	File map
15.08	Record Survey and Audit				
	Records documenting the conduct and results of records surveys/audits	Completion of subsequent survey/audit	JISC guidelines	Destroy	Records Surveys and Audits

	Records of the review of individual records to determine requirements for ongoing retention	Life of records + 6 years	1973 c.52	Destroy	Individual Record Review
	Records of the transfer of records to the University Archive where this is required by established records retention schedules -archive transfer form (EO only)	Completion of transfer + 1 year	JISC guidelines	Transfer to University archive	Records Transfer
15.09	Archives Management				
	Records of developing and establishing selection criteria for records to be preserved as archives	Life of archives	JISC guidelines	Transfer to University Archive	Record Selection Criteria
	Records of the appraisal, selection and acquisition of records for preservation as institutional archives	Life of records	JISC guidelines	Transfer to University Archive	Record Appraisal Selection and Acquisition
	Records of the accessioning of records acquired for preservation as archives - accessions list	Life of archives	JISC guidelines	Transfer to University Archive	Accession records
	Records of the scheme of arrangement for the archives	Life of records arranged according to the scheme	JISC guidelines	Transfer to University Archive	Archival Arrangement
	Records of developing the standard descriptive model for the archives	Life of records described using this scheme	JISC guidelines	Transfer to University Archive	Archival Descriptive Model Development
	Records of the arrangement and contents of institutional archives	Life of records	JISC guidelines	Transfer to University Archive	Record Descriptions

Records of monitoring and control of the storage of archives	CAY + 1 year	JISC guidelines	Transfer to University Archive	Archive Storage
Records of conservation work undertaken on items in the archives	Life of records	JISC guidelines	Transfer to University Archive	Archive Conservation
Records of requests for access to items in the archives and the responses provided	Last action on request + 1 year	JISC guidelines	Destroy	Archive Access Control
Records of the movement of items from/to storage	Return of items + 1 year	JISC guidelines	Destroy	Archive Movements
Records of developing and maintaining specialised finding aids to promote and facilitate access to items in the archives	While current	JISC guidelines	Transfer to University Archive	Archive Finding Aids
Records of the design and distribution of promotional materials to raise awareness and encourage use of items in the archives	While current	JISC guidelines	Transfer to University Archive	Promotional Materials
Enquiries about items in the archives and the responses provided	Last action on enquiry + 1 year	JISC guidelines	Transfer to University Archive	Archive Enquiries
Records of the selection and use of items from the archives by staff for teaching, events, publication, tv programmes etc.	Last action +5 years	JISC guidelines	Transfer to University Archive	Institutional Staff Archival Material Selection
Records of loans of items from the archives to third parties	End of loan + 6 years	1973 c.52	Transfer to University Archive	Archival Loans

Records of authorisation for the disposal of de-accessioned records	Life of archives	JISC guidelines	Transfer to University Archive	De-Accessioned Records Disposal Authorisation
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HUMAN RESOURCES/PERSONNEL

In order to reduce duplication it should be noted that departments should **not** keep copies of the following records which are held centrally by Human Resources/Personnel:

- Any information relating to grievance/disciplinary proceedings
- Probation forms and associated documentation (upon the conclusion of a probationary period)
- Copies of references
- Copies of recruitment application forms
- Job adverts
- Job descriptions
- Information relating to Disclosure Scotland checks
- Information relating to participation in industrial action
- PDRs
- Annual leave sheets

Ref	Description	Retention	Citation	Action	UHI classification tags
16	HUMAN RESOURCES/PERSONNEL Scope: The function of managing the University Partner’s workforce, and its relationship with individual employees				

	See General retention schedule for the retention periods and actions for Strategy, Policy, Procedures and Complaints				
16.01	Workforce Planning				
	Records of the assessment and analysis of workforce requirements, and the identification and evaluation of options for meeting these requirements	CAY + 3 years	1973 c.52	Transfer to University Archive	Workforce Requirements
	Management succession plans	Superseded + 5 years	JISC guidelines	Transfer to University Archive	Management Succession
	Development and evaluation of job specifications Job specifications template Job descriptions	Superseded + 5 years	JISC guidelines	Review, then transfer relevant documentation to University Archive (or relevant academic partner archive)	Recruitment and workforce specifications
16.02	Recruitment				

<p>Records of internal authorisation for recruitment - ATR documentation</p>	<p>CAY + 3 years</p>	<p>Must comply with terms of 2018 a. 6 and 9</p>	<p>Destroy</p>	<p>Recruitment Authorisation</p>
<p>Records of completed recruitment where no Tier 2 person was appointed Advert Job description Person specification Application form Curriculum vitae Supporting documentation (references, bank details, emergency contacts) Further information Unsuccessful recruitment notes</p>	<p>CAY + 1 year</p>	<p>University Partnership</p>	<p>Move relevant documentation to staff folder for person recruited as soon as recruitment is complete. At end of retention, delete record in completed recruitment</p>	<p>Completed recruitment: no Visa requirement</p>
<p>Records of completed recruitment where Tier 2 person was appointed Advert Job description Person specification Application form Curriculum vitae Supporting documentation (references, bank details, emergency contacts) Further information Unsuccessful recruitment notes</p>	<p>For the life of sponsorship + 1 year (up to 7 years max)</p>	<p>Immigration, Asylum and Nationality Act 2006 and Limitation Act 1980 The Equality Act 2010 1975 c.65 1976 c.74 1995 c.50</p>	<p>Move relevant documentation to staff folder for person recruited as soon as recruitment is complete. At end of retention, delete record in completed recruitment</p>	<p>Completed recruitment: Visa requirement</p>

	Enquiries about vacancies and requests for application forms	End of recruitment process	JISC guidelines	Destroy	Vacancy Enquiries
	<p>Records of the handling of applications for vacancies where no Tier 2 sponsored person was appointed: unsuccessful applications</p> <p>This section can include:</p> <ul style="list-style-type: none"> • Adverts • Job description • Person specification • Application forms • Curriculum vitae • Supporting documentation (references, bank details, emergency contacts) • Correspondence (re shortlisting, interview dates, outcomes, expenses etc) • Equality and diversity form 	For the life of sponsorship + 1 year (up to 7 years max)	Information Commissioner: Employment Practice Code Part 1: Recruitment and Selection (1.7.5)	Destroy	Unsuccessful Application Handling: no Visa requirement
	<p>Records of the handling of applications for vacancies where a Tier 2 sponsored person was appointed: unsuccessful applications</p> <p>This section can include:</p> <ul style="list-style-type: none"> • Adverts • Job description • Person specification • Application forms • Curriculum vitae • Supporting documentation 	For the life of sponsorship + 1 year (up to 7 years max)		Destroy	Unsuccessful Application Handling: Visa requirement

	<p>(references, bank details, emergency contacts)</p> <ul style="list-style-type: none"> • Correspondence (re shortlisting, interview dates, outcomes, expenses etc) • Equality and diversity form 				
	Records of management analyses of recruitment effectiveness e.g. use of advertising media	CAY + 1 year	JISC guidelines	Destroy	Recruitment Effectiveness
	Unsolicited applications for employment	End of recruitment process	JISC guidelines	Destroy	Unsolicited Applications Handling
	References provided in support of an employee’s application to work for another organisation	Provision of reference + 1 year	JISC guidelines	Destroy	References for employees
16.03	Induction and Onboarding. Forms part of Staff/Personnel file				
	<p>This section can include:</p> <ul style="list-style-type: none"> • Documentation collected during recruitment (see previous section) • Personal information form • Occupational health certifications (Fitness to work – where required) • Qualification and professional membership evidence • Right to work checks eg. Passport, visa • Email correspondence relating to appointment/offer (visa requirements, relocation expenses etc) 	End of employment + 7 years	University Partnership	Destroy	Onboarding

	<ul style="list-style-type: none"> UKVI information, eg. sponsorship Explanatory notes relating to non standard recruitment Completed induction checklist				
	Records of the development, overall delivery and assessment of induction programmes for new employees. (<i>For records of individual employees' induction programmes, see 14.14</i>)	CAY + 6 years	JISC guidelines	Destroy	Induction Programme Development
	Records of administering induction programmes	Completion or end of programme + 1 year	JISC guidelines	Destroy	Induction Programmes
16.04	Training and Development: Forms part of Training and development				
	Records of developing training and development programmes to meet defined needs	Completion of programme + 5 years	JISC guidelines	Destroy	Workforce Training and Development Programmes
	Recordings made for staff training	CAY	University partnership guidelines	Review then renew retention or delete	Staff training recordings
	Continuous professional development. Records of training events/courses attended	End of Employment + 7 years	University partnership guidelines	Destroy	Completed training
	Individual feedback on training and development programmes	Completion of analysis of feedback	JISC guidelines	Destroy	Training and Development Programme Feedback

	Records of (anonymised) workforce feedback on training and development programmes	CAY + 5 years	JISC guidelines	Destroy	Anonymised Training and Development Workforce Feedback
	Records of management analyses of the impact of training and development programmes	CAY + 5 years	JISC guidelines	Destroy	Training and Development Programme Analyses
	ALPINE Athena SWAN AURORA Mentoring Research staff development Write-UP	Anonymise where possible then retain indefinitely	University partnership guidelines	Review, then transfer relevant documentation to University Archive (or relevant academic partner archive)	Staff Development
16.06	Remuneration and Reward Management				
	Records of developing the remuneration structure	CAY + 10 years	JISC guidelines	Review, then transfer relevant documentation to University Archive (or relevant academic partner archive)	Remuneration Structure

	Records of pay audits/reviews	CAY + 6 years	JISC guidelines	Review, then transfer relevant documentation to University Archive (or relevant academic partner archive)	Pay Reviews
	Records of special reward schemes e.g. merit reviews	End of scheme + 6 years	JISC guidelines	Review, then transfer relevant documentation to University Archive (or relevant academic partner archive)	Reward Schemes
16.07	HR Payroll				
	Salary payment calculation and instruction Occupational Statutory Sick Pay scheme calculation and instruction. Instruction to move to statutory sick pay	End of Employment + 6 years	S.I.1 1998/1833*	Destroy	Salaries and Other Payments

	Instructions re overpayments Records of monitoring hours worked by employees, as required by the regulations cited TAS Timesheets				
	Records of entitlements to and calculations of Statutory Maternity Pay	CTY + 3 years* End of employment + 6 years	The Maternity and Parental Leave etc. Regulations 1999 (SI 1999/3312)	Destroy	Statutory Leave Pay
	Any additional employee benefit schemes eg. Cycle to work, relocation	CTY + 6 years*	1970 c.9 1973 c.52	Destroy	Employee benefits
	Records of absence due to strike action	End of Employment + 7 years	UHI Partnership	Destroy	Strike record
16.08	Employee Relations Management				
	Records of grievances raised by staff (which do not relate directly to their own contracts of employment), the official response, action taken and the outcome	Last action on case + 6 years	Limitation Act 1980 c.58 s.5	Destroy	Grievances
	This section can include: Correspondence re performance issues including probationary period <ul style="list-style-type: none"> • Details related to 	End of employment + 7 years	Limitation Act 1980 c.58 s.5	Destroy	Employee relations

	<ul style="list-style-type: none"> organisational change Redundancy consultation letters and notes of meetings Notes of general employee relations meetings Grievance letters and notes of meetings 				
	Disciplinary letters and notes of meetings	Expiry of warning	UHI Partnership	Delete	Disciplinary action
	Workforce surveys and consultations	Completion of survey/consultation + 5 years	JISC	Review, then transfer relevant documentation to University Archive (or relevant academic partner archive)	Workforce surveys and consultations
	Identifiable individual responses to workforce surveys and consultations	Completion of survey	JISC	Destroy or anonymise	Workforce surveys and consultations: individual responses
16.09	Employee Contract Management				
	This section can include: <ul style="list-style-type: none"> Contracts and associated terms and conditions of 	End of employment + 7 years	Limitation Act 1980 c. 58 s 5	Destroy	Employee contract management

	<p>employment</p> <ul style="list-style-type: none"> • Variations to contracts and terms and conditions of employment • Termination of employment letters e.g. resignation/retirement/redundancy confirmation • Permission to carry out other work • Records of an employee’s remuneration and rewards (eg. Bonuses, merit awards, long service awards) • Disclosure Scotland checks (Note: Membership number and type. These documents are not held on the HR system. The membership number is recorded, and notification is sent to Disclosure Scotland annually) • Details of approved allowances • Flexible working requests • Research passport checks (Nursing) • Immunisation certification • Home working requests <p>Award of academic titles</p>		<p><i>See Section 1.7 of the Employment Practices Code (Information Commissioner's Office, 2011)</i></p>		
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<p>Probation, professional reviews and training</p> <ul style="list-style-type: none"> • Copies of probation documentation • Copies of professional and performance review documents, eg. PDRs, Performance Management Plans (PMPs), Objective setting letters for senior management • Copies of qualifications and training certificates • Training agreements • Records of all staff development activities • GTCS supporting documentation and referrals back 	<p>End of employment + 7 years</p>	<p>Limitation Act 1980 c. 58 s 5</p> <p>See Section 1.7 of the Employment Practices Code (Information Commissioner's Office, 2011)</p>	<p>Destroy</p>	<p>Probation, professional reviews and training</p>
<p>Absence and leave This section can include:</p> <ul style="list-style-type: none"> - Self certification - Medical certificates (fit notes) - Occupational health reports and/or referrals - Voicemail messages/ emails reporting sickness absence - Hospital appointment letters - Return to work forms 	<p>End of employment + 7 years</p>	<p>The Statutory Sick Pay (Maintenance of Records) (Revocation) Regulations 2014 (SI 2014/55).</p> <p>Limitation Act, 1980.</p>	<p>Destroy</p>	<p>Absence and Leave</p>

<ul style="list-style-type: none"> - Correspondence re sickness absence (half pay, nil pay, annual leave carry forward etc) - Sickness absence review meeting notes - Correspondence about other types of leave such as maternity leave, jury service etc. - Annual leave (if retained for Current Academic Year + 2 years, retain in separate area) - Ill health retirement documentation - 		<p><i>SI 2014/55 abolished the former obligation on employers to keep these records. Although there is no longer a specific statutory retention period, employers still have to keep sickness records to best suit their business needs. It is advisable to keep records for at least 3 months after the end of the period of sick leave in case of a disability discrimination claim. However, if there were to be a contractual claim for breach of an employment contract it may be safer to keep records for 6 years</i></p>		
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			after the employment ceases		
	<ul style="list-style-type: none"> Letters around leaving, resignation, retirement notification, redundancy document, VS documentation etc. Exit interviews References provided 	End of employment + 7 years	UHI Partnership	Delete	Leaving and Offboarding
16.10	Industrial Relations Management (Personnel and Senior Officers)				
	Records of the University Partner's recognition/derecognition of trades unions	(De)recognition + 6 years	Limitation Act 1980 c. 58 s. 5	Review, then transfer relevant documentation to University Archive (or relevant academic partner archive)	Trade Union Recognition

Records of agreements with trades unions	End of agreement + 20 years	1973 c.52 Chartered Institute of Personnel and Development recommendation	Review, then transfer relevant documentation to University Archive (or relevant academic partner archive)	Trade Union Agreements
Records of routine communications with trade union representatives, including minutes of meetings	Current year + 20 years	JISC guidelines	Review, then transfer relevant documentation to University Archive (or relevant academic partner archive)	Trade Union Communications
Records of consultations/ negotiations with trades unions on specific issues	Last action on issue + 20 years	JISC guidelines	Review, then transfer relevant documentation to University Archive (or relevant academic partner archive)	Trade Union Consultations

				partner archive)	
16.11	Pension Schemes Administration (Payroll and Personnel)				
	Records of relationships with pension schemes to which all or part of the workforce belongs	End of Employment + 7 years	JISC guidelines	Destroy	Pension Scheme Relationships
	Records of routine communications with the pension schemes	End of Employment + 7 years	JISC guidelines	Destroy	Pension Scheme Communications

GOVERNANCE

Ref	Description	Retention	Citation	Action	UHI classification tags
17	<p>GOVERNANCE Scope: Developing the corporate governance structure and rules, and conducting business in accordance with those rules</p>				
	See General retention schedule for the retention periods and actions for Strategy, Policy, Procedures and Complaints				
17.01	Legal Framework Development				
	Records of the establishment and development of the legal framework	Life of the Institution/College	JISC guidelines	Transfer to University Archive	Legal Framework Development

17.02	Governance Framework Development				
	Records of the establishment and development of the governance structure Articles of association Company house registration	Life of the Institution/College	JISC guidelines	Transfer to University Archive	Governance Structure and Rules Development
17.03	Committee Management (statutory and non-statutory, informal)				
	Records of developing and establishing terms of reference for academic and executive committees	Life of committee	JISC guidelines	Transfer to University Archive	Committee Development
	Records of the appointment of committee members (statutory and non-statutory committees)	End of appointment + 6 years	JISC guidelines	Transfer to University Archive	Committee Appointment
	Records of committee members training and development (statutory and non-statutory committees)	CAY + 5 years	JISC guidelines	Destroy	Committee Induction and Training
	Records documenting training undertaken by individual members of a statutory committee (statutory committee only)	End of appointment + 6 years	JISC guidelines	Destroy	Individual Committee Member Training

Records of organising committee meetings (statutory and non-statutory committees)	CAY + 1 year	JISC guidelines	Destroy	Committee Meeting Arrangements
Records documenting the conduct of the business of a statutory or non-statutory committee: agenda, minutes and supporting papers. Included: 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 (statutory and non-statutory committees) Meetings Team Meetings	CAY + 4 years	University partnership guidelines	Review, then transfer to University Archive	Committee Business Documentation/Meeting documentation
Recordings of administrative meetings	7 days	University partnership guidelines	Review, then delete or transfer to University Archive	Recordings of administrative meetings
Register of interests of members of the institution's governing body	End of appointment + 6 years	JISC guidelines	Transfer to University Archive	Governing Body Register of Interests

	Records documenting the conduct of reviews of the effectiveness and performance of a committee	Completion of two subsequent reviews	JISC guidelines	Review, then transfer to University Archive	Committee effectiveness review
17.04	Public Interest Disclosure (Whistle Blowing) Investigation				
	Handling of allegations of malpractice or misconduct made by staff under the Public Interest Disclosure Act 1998.	Closure of case + 6 years	JISC guidelines	Review then transfer to University archive or destroy	Staff Allegation Investigations
17.05	Prevent referrals				
	Referral form and any supporting evidence	End of student relationship + 3 years	Prevent guidelines and University Partnership guidelines	Destroy	Prevention Referrals

INFORMATION COMPLIANCE: DATA PROTECTION AND FREEDOM OF INFORMATION SCOTLAND ACTS

Ref	Description	Retention	Citation	Action	UHI classification tags
18	INFORMATION COMPLIANCE Managing information compliance and information requests				

	See General retention schedule for the retention periods and actions for Strategy, Policy, Procedures and Complaints				
18.01	Data Protection Act (DPA)				
	Notifications of data controller details to the Office of the Information Commissioner	Expiry of notification + 1 year	JISC	Destroy	Data Controller Notification
	Requests for access to personal information under the Data Protection Act 2018 Subject access requests Requests for access to personal information from authorities (eg. SAAS fraud requests; Police Scotland requests)	Last action on request + 1 year	University partnership guidelines	Destroy	Personal Information Access Requests
	E-discovery preservation holds	Provision of response to requester + 6 months	University partnership guidelines	Destroy	Data subject request e-discovery preservation holds
	Right to be forgotten requests and summary of action taken	Retain indefinitely	University partnership guidelines	Transfer to University archive	Right to be forgotten requests
	Records of (anonymised) management statistics, analyses and report of requests for access to personal information under the Data Protection Act 2018 Annual FOI and DPA files Data Protection reporting logs Data breaches logs	CAY + 10 years	University partnership guidelines	Review and transfer to University Archive	Anonymised Statistics and Reports

	Privacy impact/ Data Protection Impact Assessments/Legitimate interest assessments	CAY + 6 years	University partnership guidelines	Destroy	Data Protection Impact Assessment
	Data protection documentation (Article 30 registers, data processing agreements, data sharing agreements, privacy notices)	Superseded + 6 years	University partnership guidelines	Destroy	Data protection documentation
	Privacy Notices	Superseded + 6 years	GDPR 5(1) (e) Limitation Act 1980	Destroy	Privacy Notice
	Consent forms Confirmation of deletion of consent forms, where consent forms need to be deleted for the purposes of achieving anonymisation	End of processing + 6 years	University partnership guidelines	Destroy	Consent forms
	Breach report – action taken	Case closed + 6 years	Limitation Act 1980	Destroy	Breach Report
18.02	Freedom of Information (Scotland) Act Compliance (2002)				
	Records of developing and maintaining the publication scheme as required by the Freedom of Information (Scotland) Act 2002	End of revision of publication scheme + 5 years	Freedom of Information Act 2000 See: 'Model publication scheme Freedom of Information Act' 2015 (ICO). 'Definition	Destroy	Publication Scheme Development

			document for universities and other higher education institutions' and 'Definition document for colleges of further education' ICO (2013)		
	Requests for access to information under the Freedom of Information (Scotland) Act 2002	Last action on request + 3 years	Freedom of Information Act 2000 See: 'Model publication scheme Freedom of Information Act' 2015 (ICO). 'Definition document for universities and other higher education institutions' and 'Definition document for colleges of further education' ICO (2013)	Destroy	FOI Requests

	Data protection and FOI complaints	Case closed + 2 years	ICO recommendation	Destroy	DP and FOI Complaints
	Records of (anonymised) management statistics, analyses and report of requests for access to personal information under the Freedom of Information (Scotland) Act 2002	Current year + 10 years	JISC guidelines	Destroy	FOI Statistics
18.03	Environmental Information compliance (2004)				
	Records documenting the handling of requests for environmental information held by the institution, made under the Environmental Information Regulations 2004 (SI 2004/3391) or the Environmental Information (Scotland) Regulations 2004 (SSI 2004/520).	Last action on request + 3 years	JISC guidelines	Destroy	Environmental Information Requests
	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) or the Environmental Information (Scotland) Regulations 2004 (SSI 2004/520)	Current year + 10 years	JISC guidelines	Destroy	Environmental Information Statistics

RISK MANAGEMENT

Ref	Description	Retention	Citation	Action	UHI classification tags
19	RISK MANAGEMENT Scope: The activities involved in managing identified risks to the viability or success of the University Partner.				
	See General retention schedule for the retention periods and actions for Strategy, Policy, Procedures and Complaints				
19.01	Risk Identification and Assessment				
	Records of identifying risks and assessing those risks Risk register	Superseded + 3 years	University partnership guidelines	Review then transfer to University archive	Identified Risks
19.02	Business Continuity Planning				
	Records of formulating, testing and maintaining disaster response and recovery plans	Superseded + 1 year	University partnership guidelines	Review then transfer to University archive	Disaster Response and Recovery Plans

AUDIT

For engaging external auditors, use the appropriate section of: 32 – *Procurement*.

For conducting health and safety audits, use: 33.6 – Health and Safety Management – Health and Safety Audit.

For conducting environmental audits, use: 34.6 – Environmental Management – Environmental Audit.

Ref	Description	Retention	Citation	Action	UHI classification tags
20	AUDIT Scope: Conducting audits, both internal and external, of the University Partner's affairs and operations for internal control purposes and to ensure compliance with institutional, industry or legal requirements.				
	See General retention schedule for the retention periods and actions for Strategy, Policy, Procedures and Complaints				
20.01	Audit Management				
	Records of the conduct and results of audits, and action taken to address issues raised	Current academic year + 5 years	JISC guidelines	Delete	Audit Management
	Records of the planning of audits	Current academic year + 3 years	JISC guidelines	Delete	Internal audit planning
	Internal audit investigations	Completion of audit + 5 years	JISC guidelines	Delete	Audit Management

INTELLECTUAL PROPERTY AND COPYRIGHTMANAGEMENT

Ref	Description	Retention	Citation	Action	UHI classification tags
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21	INTELLECTUAL PROPERTY AND COPYRIGHT MANAGEMENT Scope: Managing intellectual property, including patents, designs, trademarks and copyright				
	See General retention schedule for the retention periods and actions for Strategy, Policy, Procedures and Complaints				
21.01	Patent Management				
	Records of applications for patents	Life of patent + 50 years	JISC guidelines	Transfer to University Archive	Patent and Application
	Original patent documents	Life of patent + 50 years	JISC guidelines	Transfer to University Archive	Patent and Application
	Routine monitoring of third party activity in areas covered by University Partner patents	Current year + 5 years	JISC guidelines	Destroy	IPR Infringement Monitoring
	Identified infringements of patents, and action taken other than litigation	Last action on case + 6 years	1973 c.52 Limitation Act 1980 c.58 s 5	Transfer to University Archive	IPR Infringements
	Records documenting the institution's applications for other forms of IPR protection (registered trade marks, registered designs)	End of registration + 6 years	1973 c.52 Limitation Act 1980 c.58 s 5	Transfer to University Archive	Intellectual property rights (IPR) protection applications
	Applications for renewal of IPR protection, up to the maximum period permitted.	Life of patent/end of registration	JISC guidelines	Transfer to University Archive	IPR protection renewals
	Negotiation and completion of IPR assignments to third parties	Life of IPR + 6 years	Limitation Act 1980 c.58 s 5	Transfer to University Archive	IPR Assignment

	Negotiation and completion of IPR licence agreements to third parties	Termination of licence + 6 years	Limitation Act 1980 c.58 s 5	Transfer to University Archive	IPR licensing
21.02	Copyright Administration				
	Requests from third parties to use material Audiovisual (AV) copyright forms/permissions Copyright permissions	Period for which permission is granted + 6 years	Limitation Act 1980 c.58 s 5	Transfer to University Archive	Copyright Administration
	Records documenting the compilation of statistical and other data required by the Copyright Licensing Agency, and the submission of this data to the Agency	Current Academic year + 1 year	JISC guidelines	Destroy	Copyright statistics
	Results of surveys/audits undertaken by the Copyright Licensing Agency (provided to the institution by the Agency)	Current Academic year + 5 years	JISC guidelines	Destroy	CLA survey results
	Documentation of participation in surveys/audits undertaken by the Copyright Licensing Agency	Current Academic year + 1 year	JISC guidelines	Destroy	CLA survey documentation

STUDENT ASSOCIATION RELATIONS MANAGEMENT

Ref	Description	Retention	Citation	Action	UHI classification tags
22	STUDENT ASSOCIATION RELATIONS MANAGEMENT Scope: Managing the relationship with the Students' Association, to fulfil responsibilities under the Education Act 1994.				

	See General retention schedule for the retention periods and actions for Strategy, Policy, Procedures and Complaints				
22.01	Students' Association Constitution Review and Approval				
	Records of reviewing the Student Association's constitution. (The formal review and approval of the Students' Association constitution will be recorded in the minutes of the appropriate meetings, and copies of the Student Association's constitution will be retained with the papers of those meetings.)	Issue of revised constitution + 10 years	University partnership guidelines	Destroy	Students' Association Constitution Review and Approval
22.02	Students' Association Funding				
	Records of negotiating and agreeing funding to be provided by the institution to the Students' Association.	CFY + 3 years	University partnership guidelines	Transfer to University Archive	Students' Association Funding
22.03	Students' Association Financial Monitoring				
	Records of reviewing the students' association budgets. (The formal review and approval of the Students' Association budgets will be recorded in the minutes of the appropriate meetings, and copies of the Students' Association's budgets will be retained with the papers of those meetings.)	CFY + 3 years	University partnership guidelines	Transfer to University Archive	Students' Association Financial Monitoring
22.04	Students' Association Operations Monitoring				

	Records of monitoring elections to major offices in the Students' Association. Formal reports on the conduct of the Students' Association elections will be retained in committee papers	Current year + 2 years	1994 c.30	Transfer to University Archive	Students' Association Operations Monitoring
	Records of monitoring the student association's affiliations. Copies of notices of the Student Association's decisions to affiliate, and formal reports of affiliations, will also be retained with the papers of Court	Current year + 2 years	1994 c.30	Transfer to University Archive	Students' Association Operations Monitoring

CORPORATE PLANNING and PERFORMANCE MANAGEMENT

Ref	Description	Retention	Citation	Action	UHI Classification tag
23	CORPORATE PLANNING and PERFORMANCE MANAGEMENT Scope: Developing and establishing the University Partner's overall strategy, developing its strategic plan and managing its overall performance against the plan.				
	See General retention schedule for the retention periods and actions for Strategy, Policy, Procedures and Complaints				
23.01	Strategic Planning				
	Records documenting the development of the institution's strategic plan	Superseded + 10 years	JISC guidelines	Transfer to University Archive	Strategic Planning
23.02	Strategic Performance Management				

	Records containing data on, and analyses of, the institution's performance against its strategic plan.	CAY + 5 years	JISC guidelines	Transfer to University Archive	Strategic Performance Data and Analyses
	Records containing reports on the institution's performance against its strategic plan	CAY + 10 years	JISC guidelines	Transfer to University Archive	Strategic Performance Reports
	Records documenting the conduct and results of audits and reviews of the strategic planning and performance management function, and responses to the results	CAY + 5 years	JISC guidelines	Transfer to University Archive	Strategic Performance Audits and Reviews
23.03	Operational Planning				
	Records documenting the development of the institution's annual operating plans	CAY + 5 years	JISC guidelines	Review, then transfer to University Archive	Annual Operating Plan
23.04	Operational Performance Management				
	Records documenting the conduct and results of audits and reviews of the strategic planning and performance management function, and responses to the results	Superseded	JISC guidelines	Transfer to University Archive	Key Performance Indicators Development
	Records documenting benchmarking exercises with other comparable institutions	CAY + 1 year	JISC guidelines	Delete	Benchmarking Exercises

	Records documenting performance monitoring and analysis	CAY + 1 year	JISC guidelines	Transfer to University Archive	Performance Monitoring and Analysis
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ORGANISATIONAL DEVELOPMENT

Ref	Description	Retention	Citation	Action	UHI Classification tag
24	ORGANISATIONAL DEVELOPMENT				
	See General retention schedule for the retention periods and actions for Strategy, Policy, Procedures and Complaints				
24.01	Organisational Restructuring				
	Records of managing individual organisational restructuring processes. Organisational charts	Completion of process + 5 years	JISC guidelines	Transfer to University Archive	Organisational Restructuring

LEGAL AFFAIRS MANAGEMENT

Legal services may be provided by employees or external legal advisers.

For engaging external legal advisers, use the appropriate section of: *30 Procurement*.

Ref	Description	Retention	Citation	Action	UHI Classification tag
25	LEGAL AFFAIRS MANAGEMENT				
	See General retention schedule for the retention periods and actions for Strategy, Policy, Procedures and Complaints				

25.01	Contracts and Agreements Management				
	Records of legal support for negotiating, establishing and reviewing substantive contracts and agreements with third parties: i.e. substantive agreements and contracts under seal	End of contract + 12 years	1973 c.52	Review, then transfer to University Archive or delete	Contracts and Agreements management - Third Party Contracts and Agreements Under Seal
	Records of legal support for negotiating, establishing and reviewing contracts and agreements with others: other contracts and agreements FM contracts Contract management (procurement, invoicing, award) Memorandum of understanding; research/collaboration agreement; Non-disclosure agreement; Material transfer agreement; UHI goods/services agreement; Grants and Contracts conduit letter of agreement; Grants and Contracts award terms; Grants and Contracts collaboration agreement request; Grants and Contracts variation/amendment request; Other agreement (Grants and Contracts + Staff); Staff legal enquiry Student residences contracts (tenancy agreements); service level agreement	End of contract + 6 years	1973 c.52	Review, then transfer to University Archive or delete	Third Party Contracts and Agreements
25.02	Legal Claims Management				

	Records of provision of legal support and representation in dealing with claims by or against the University Partner which do not proceed to litigation or settlement by an agreement	Settlement OR withdrawal of claim + 6 years	1973 c.52	Review, then transfer to University Archive or delete	No Litigation or Settlement By Agreement Legal Claims
25.03	Litigation Management				
	Records of litigation with third parties where legal precedents affecting the University Partner were set	Life of the Institution	1973 c.52	Transfer to University Archive	Legal Precedent Litigation
	Records of litigation with third parties where legal precedents were not set	Settlement of case + 6 years	1973 c.52	Review, then transfer to University Archive or delete	No Legal Precedent Litigation
25.04	Legal Interpretation and Advice				
	Records of legal advice requested by and provided to the University Partner concerning: - interpretation of legislation affecting the University Partner's legal framework, governance; - responsibilities or operations proposals for new legislation affecting the University Partner's legal framework, governance, responsibilities or operations;	Life of the Institution	JISC guidelines	Transfer to University Archive	Legal Advice on Framework, Governance, Responsibilities or Operations

	- relationships with government bodies and HE regulators’ industrial relation issues - health, safety and environmental issues				
	Records of legal advice on other matters requested by and provided to the University Partner.	Superseded +5 years	JISC guidelines	Destroy	Other Legal Advice

HE REGULATOR RELATIONS MANAGEMENT

Ref	Description	Retention	Citation	Action	UHI Classification tags
26	HE REGULATOR RELATIONS MANAGEMENT Scope: Managing the overall relationship with HE regulators, including government departments, funding councils, inspectorates, standards bodies, research councils and professional bodies.				
	See General retention schedule for the retention periods and actions for Strategy, Policy, Procedures and Complaints				
26.01	HE Regulator Communication Management				

	Requests for information from HE regulators, the internal handling of them and the responses provided	Last action on request +3 years	University partnership guidelines	Review, then transfer to University Archive or delete	HE Regulator Communications
	Records of participation in the conduct of formal reviews by HE regulators, and formal responses to the results of such reviews	Last action on review +3 years	JISC guidelines	Transfer to University Archive	HE Regulator Communications
	Records documenting the preparation and submission of reports to HE/FE regulatory bodies	Submission of report + 3 years	JISC guidelines	Transfer to University Archive	HE Regulator Reporting

GOVERNMENT AND PARLIAMENTARY RELATIONS MANAGEMENT

Ref	Description	Retention	Citation	Action	UHI Classification tag
27	<p>GOVERNMENT AND PARLIAMENTARY RELATIONS MANAGEMENT Scope: Managing the overall relationship with government and parliamentary departments and agencies.</p>				
	See General retention schedule for the retention periods and actions for Strategy, Policy, Procedures and Complaints				
27.01	Government and Parliamentary Communication Management				

	Records documenting general correspondence with government and parliamentary bodies	Current year + 5 years	JISC guidelines	Transfer to University Archive	Government and Parliamentary Correspondence
	Records documenting requests for information from government and parliamentary bodies, the internal handling of those requests and responses provided	Last action on request + 5 years	JISC guidelines	Transfer to University Archive	Government and Parliamentary Requests for Information
27.02	Government and Parliamentary Consultations Management				
	Records documenting requests for information from government and parliamentary bodies, the internal handling of those requests and responses provided	Last action on request +1 year	JISC guidelines	Transfer to University Archive	Government and Parliamentary Requests for Information
	Records of formal participation in government, parliamentary or public inquiries	Last action + 10 years	University partnership guidelines	Transfer to University Archive	Formal Government and Parliamentary Consultations and Inquiries Responses
27.03	Government and Parliamentary Reporting				
	Records documenting the preparation and submission of reports to government and parliamentary bodies	Submission of report + 10 years	JISC guidelines	Transfer to University Archive	Government and Parliamentary Reporting

QUALITY MANAGEMENT

For managing teaching quality and Standards, use 4.6 Teaching – Teaching Quality and Standards Management.

For managing research quality and Standards, use 5.6 Research – Research Quality and Standards Management.

Ref	Description	Retention	Citation	Action	UHI Classification tag
28	QUALITY MANAGEMENT Scope: Managing overall quality in the University Partner				
	See General retention schedule for the retention periods and actions for Strategy, Policy, Procedures and Complaints				
28.01	Quality Audit				
	Records of the conduct and results of quality audits, and action taken. Quality reviews	Completion of audit +3 years	JISC guidelines	Transfer to University Archive	Quality Audits
28.02	Quality Management Scheme Accreditation Management				
	Records of attaining and maintaining accreditation under established independent quality management schemes	End of accreditation +1 year	JISC guidelines	Transfer to University Archive	Accreditation

FINANCE MANAGEMENT

To reduce duplication, departments do **not** need to keep copies of the following records which are held centrally by Finance:

- Purchase Orders and requisitions - all electronically held
- Supplier Invoices - all scanned by Accounts Payable and available electronically
- Expense Claims - as supplier invoices plus original receipts are retained centrally
- Internal Orders - all available electronically
- Payroll data - all kept centrally by Payroll Office
- Non-sales cash - originals kept centrally

Ref	Description	Retention	Citation	Action	UHI Classification tag
29	FINANCE MANAGEMENT				
	See General retention schedule for the retention periods and actions for Strategy, Policy, Procedures and Complaints				
29.0					
1	Finance Management Planning				
	Records documenting the formulation of plans for the implementation of the University Partner’s finance strategy	Superseded + 10 years	JISC guidelines	Review, then transfer to University Archive or delete	Finance Management Planning
	Records documenting the monitoring of income and expenditure against annual operating budgets, and action taken to deal with variances Financial sustainability	Superseded + 3 years	University partnership guidelines	Review for archival value, then transfer to University Archive or delete	Annual operating budget monitoring
	Records documenting the preparation of annual operating budgets	Superseded	University partnership guidelines	Destroy	Annual operating budget preparation
	Academic partner budget monitoring	CFY + 3 years	University partnership guidelines	Review, then transfer to University Archive	AP budget monitoring

	Departmental budget monitoring	CFY + 3 years	University partnership guidelines	Review, then transfer to University Archive	Departmental budget monitoring
	Project budget monitoring	CFY + 3 years	University partnership guidelines	Review, then transfer to University Archive	Project budget monitoring
29.0 2	Finance Management Performance Management				
	Records containing data on, and analyses of, performance against the plans for implementation of the University Partner's finance strategy	CFY + 1 year	University partnership guidelines	Review, then transfer to University Archive or delete	Financial Performance Analysis
	Records containing reports of performance against the plans for implementation of the University Partner's finance strategy	CFY + 10 years	JISC guidelines	Review, then transfer to University Archive or delete	Financial Performance Reports, Audits and Review
	Records documenting the conduct and results of audits and reviews of the finance management function, and responses to the results	CFY + 10 years	JISC guidelines	Review, then transfer to University Archive or delete	Financial Performance Reports, Audits and Review

	Statutory returns HESA, ONS Statistics, National Outcomes data	CAY + 6 years	University partnership guidelines	Review then transfer to University Archive	Statutory returns
29.0 3	Financial Accounting				
	Records of the issue of sales invoices and the processing of incoming payments Accounts receivable Sales ledger Student residences incoming	CFY + 6 years*	1970 c.9* 1973 c.52 Limitation Act 1980 c. 58 s. 5 1994 c.23 HMCE 700/21*	Destroy	Incoming
	Purchase invoices PECOS/APTOS payments Payment and/or reimbursement of employees expenses Payment of honoraria to third parties (unless administered through the payroll) Third party expenses Credit cards Fuel cards	CFY + 6 years*	1970 c.9* 1973 c.52 Limitation Act 1980 c. 58 s. 5 1994 c.23 HMCE 700/21*	Destroy	Accounts payable
	Records of the receipt and payment of purchase invoices	CFY + 6 years*	1970 c.9* 1973 c.52 Limitation Act 1980 c. 58 s. 5 1994 c.23 HMCE 700/21*	Destroy	Purchase Invoices

	Records of the handling of petty cash	CFY + 6 years*	1970 c.9 1973 c.52 Limitation Act 1980 c. 58 s. 5 1994 c.23*	Destroy	Petty Cash
	Records of the receipt and processing of students' fees	CFY + 6 years*	1970 c.9* Limitation Act 1980 c. 58 s. 5 1973 c.52	Destroy	Tuition Fees
	Records of the preparation of annual accounts	CFY + 6 years*	1970 c.9* Limitation Act 1980 c. 58 s. 5	Destroy	Annual Account Preparation
	Annual accounts	CFY + 6 years	1970 c.9 Limitation Act 1980 c. 58 s. 5	Transfer to University Archive	Annual Accounts
	* Except for externally funded projects, where retention periods may differ, eg. EU funded projects. Check with University Partner Archivist and or local partner staff responsible for records management if any external funding is involved				
29.0 4	Management Accounting				
	Analyses of the internal deployment of financial resources	CFY + 1 year	JISC guidelines	Review, then transfer to University Archive or delete	Internal Deployment of Financial Resources
29.0 5	Statutory Accounting				

	Records of the preparation of statutory accounts	CFY + 6 years	1973 c.52 Limitation Act 1980 c. 58 s. 5	Destroy	Statutory Accounts Preparation
29.0 6	Internal Accounting				
	Records of the processing of internal accounting transactions between operating units (i.e. cross-charges)	CFY + 1 year	JISC guidelines	Destroy	Internal Accounting Transactions
	Records of negotiating and administering formal contracts between operating units (e.g. for the provision of services)	End of contract + 1 year	JISC guidelines	Destroy	Formal Operating Units Contracts
29.0 7	Funding Management				
	Records of administering funds SDB SDS (Skills Development Scotland) – WBL (Work-based Learning) KESG fund management areas	CFY + 10 years	JISC guidelines	Review then transfer to University Archive	Fund management
	Records of administering annual funding allocations from appropriate statutory funding bodies	CFY + 10 years	JISC guidelines	Destroy	Annual Funding Body Allocations
	Records of administering annual funding allocations from City-Region Deal Undertaking states date of signature + 20 years as period of obligation. However, we will assign standard financial audit	CFY + 10 years	Undertaking with Highland Council	Review then transfer to University Archive	City-Region Deal

retention - full financial records (invoices, receipts, staff payroll, financial evidence)				
Records of administering annual funding allocations through Grants and Contracts	CFY + 10 years	JISC guidelines	Destroy	Grants and Contracts
Records of administering annual funding allocations through International Student Admissions	CFY + 10 years (Retention to be reviewed in 11/2026)	University partnership guidelines	Destroy	Federal Student Aid Funding
Records of administering research grants provided by research councils or corporate sponsors	End of grant + 6 years	1973 c.52 Limitation Act 1980 c. 58 s. 5	Destroy	Research Grants
Records of administering scholarship funds	CFY + 6 years	1973 c.52 Limitation Act 1980 c. 58 s. 5	Destroy	Scholarship Funds
Records of administering Student Development Fund (Development Office) funds	CFY + 6 years	1973 c.52	Review then transfer to University Archive	SDF Funds
European Funding – ERDF 2007-2013	Check with Grants and Contracts. Desk officer approval from Scottish government required before action can be taken	EU agreements	Review then transfer to University Archive	ERDF 2007-2013
European Structural Funds – ESF 2007-2013	Check with Grants and Contracts. Desk officer	EU agreements	Review then transfer to	ESF 2007-2013

	approval from Scottish government required before action can be taken. Estimated possible review from 31 December 2022		University Archive	
European Structural Funds – ESF 2014-2020	Review after 31 December 2030	EU agreements	Review then transfer to University Archive	ESF 2014-2020
European Structural Funds – FP7	Review after 31 December 2023	EU agreements	Review then transfer to University Archive	FP7
Interreg 2014-2020 projects (EU funding)	Desk office closure + five years. Review on 31/12/2027	External funder retention guidelines	Send final reports to University Archive then review and either archive or destroy	Interreg 2014-2020
Funding and other documentation relating to Millennium Commission documentation	Permanent	University partnership guidelines	Review then transfer to University Archive	Millennium Commission

	Scottish Funding Council funded projects	End of project + 6 years	University partnership guidelines	Review then transfer to University Archive	SFC funded projects
	Scottish Libraries and Information Council funded projects	End of project + 6 years	University partnership guidelines	Review then transfer to University Archive	SLIC funded projects
	Staff Development Fund documentation, applications and database Scholarship applications Staff Development applications	Non-anonymised financial data - End of Employment Funded courses - retain for CFY + 6 years	University partnership guidelines	Review then transfer to University Archive	Staff Development Fund
	Staff travel and conference fund Applications, forms, supporting documentation	CFY + 6 years	University partnership guidelines	Destroy	Staff Travel and Conference Fund
29.08	Student Scholarships and Bursaries Management - HE				
	Records of administering scholarship funds SAAS Discretionary Funds, UHI Nursing and Midwifery Discretionary Fund	CAY + 1 year	University partnership guidelines	Destroy	SAS Discretionary Funds
	Elite Athletes Gaelic Bursary (Highland Council and Western Isles Council) UHI Scholarship Fund Carnegie Undergraduate Vacation	CAY + 6 years	University partnership guidelines	Destroy	Student Scholarship Funds

	Scholarship Thomas and Margaret Roddan Trust				
	Applies to successful applications only. Unsuccessful applications should be deleted CAY + 1 year				
	UHI Nursing Student Assistance Fund	CAY	University partnership guidelines	Destroy	Nursing Student Funds
Student Scholarships and Bursaries Management - FE					
	College financial records for: Other FE bursaries Childcare Funds Discretionary funds Education Maintenance Allowance	CAY + 6 years	SFC guidelines	Destroy	FE Scholarships and Funding
29.0 9	Payroll Administration				
	Records of employees' authorisation for non-statutory payroll deductions	CTY + 6 years	1973 c.52 Limitation Act 1980 c. 58 s. 5	Destroy	Non-statutory Payroll Deduction Authorisations
	Records of the calculation and payment of payroll payments to employees Payroll (employee salaries; sick pay; PAYE records; maternity/paternity pay; salary sacrifice deductions (eg childcare vouchers); unauthorised leave	CTY + 6 years	1970 c.9 1973 c.52 Limitation Act 1980 c. 58 s. 5 SI 1993/744*	Destroy	Salaries and Other Payments

		SI 1999/584* <u>Minimum:</u> The National Minimum Wage Regulations (SI 2015/621) Regulation 59(8) The Income Tax (Pay As You Earn) Regulations (SI 2003/2682) Regulation 97(8) <u>Recommended:</u> Taxes Management Act 1970 c. 9 s 34		
Records of the operation of the Statutory Sick Pay scheme	CTY + 6 years*	SI 1982/894*	Destroy	Sick Pay Payments
Employer's PAYE records which are not required to be sent to the Inland Revenue (under the provisions of the Income Tax (Pay As You Earn) Regulations 2003	CTY + 6 years*	SI 1982/894*	Destroy	PAYE records
Records of the operation of the Statutory Maternity Pay scheme	CTY + 6 years*	SI 1986/1960*	Destroy	Maternity Pay Payments
Cycle to work, relocation, Motor vehicle allowance scheme	CTY + 6 years	1970 c.9 1973 c.52	Destroy	Employee benefits

			Limitation Act 1980 c. 58 s. 5 SI 1993/744* SI 1999/584* University Partnership guidelines		
29.1 0	Pension Contributions Administration				
	Records of payments of employer and employee contributions to pensions schemes for employees	End of employment + 75 years	1973 c.52 Limitation Act 1980 c. 58 s. 5	Destroy	Pension Scheme Contributions
29.1 1	Tax Management				
	Records of the preparation and filing of tax returns	CTY + 6 years*	1970 c.9 s 34*	Destroy	Tax Returns
	Records documenting the institution's accounting for VAT	CTY + 6 years*	Value Added Tax Act 1994 c. 23 s 58 and Schedule 11, para. 6(3) The Value Added Tax Regulations (SI 1995/2518) s 31 HMRC VAT Notice 700/21 para. 5.2	Destroy	VAT Accounting
29.1 2	Cash Management				

	Records of opening, closing and routine administering of bank accounts	Closure of account + 6 years	1973 c.52 Limitation Act 1980 c. 58 s. 5	Destroy	Bank Accounts
	Records of standing orders, direct debits etc.	Life of instruction + 6 years	1973 c.52 Limitation Act 1980 c. 58 s. 5	Destroy	Standing Orders and Direct Debits
	Records of routine bank account deposits / withdrawals / transfers (paying-in slips, transfer instructions etc.) BACS payments	CFY + 6 years*	1970 c.9 s34* 1980 c.58 s5	Destroy	Bank Account Operations
29.1 3	Investment Management				
	Records of the overall management of the financial investment portfolio	Divestment + 6 years	Limitation Act 1980 c. 58 s. 5	Transfer to University Archive	Financial Investment Portfolio
	Records of the purchase and sale of investments	CFY (of transaction) + 6 years*	1970 c.9 s34*	Destroy	Purchase/Sale of Investments
29.1 4	Asset Management				
	Valuations of capital assets Assets lists	CFY + 6 years*	1970 c.9 s 34*	Transfer to University Archive	Capital Assets Value
	Records of decisions and authorisations to dispose of capital assets	CFY (of disposal) + 6 years*	1970 c.9 s 34* 1973 c.52	Transfer to University Archive	Capital Assets Disposals

		Limitation Act 1980 c. 58 s. 5		
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INSURANCE MANAGEMENT

Ref	Description	Retention	Citation	Action	UHI Classification tag
30	INSURANCE POLICY MANAGEMENT				
	See General retention schedule for the retention periods and actions for Strategy, Policy, Procedures and Complaints				
30.01	Insurance Claim Administration				
	Claims	Settlement/withdrawal of claim +6 years	Limitation Act 1980 c. 58 s. 5	Transfer to University Archive	Claims
30.02	Insurance Policy Management				
	Employers' liability insurance	Commencement/renewal of policy + 40 years*	1969 c.57 SI1998/2573*	Destroy	Employers Liability Insurance Policies
	All other insurance policies	Expiry of policy + 6 years	1973 c.52 Limitation Act 1980 c. 58 s. 5	Destroy	Other Insurance Policies
	Records documenting the arrangement and renewal of insurance policies: all other insurance	Expiry of policy + 6 years	Limitation Act 1980 c. 58 s. 5	Destroy	Renewal of insurance policies documentation

ESTATE AND FACILITIES MANAGEMENT

Ref	Description	Retention	Citation	Action	UHI Classification tags
31	ESTATE AND FACILITIES MANAGEMENT (Estates and Buildings)				
	See General retention schedule for the retention periods and actions for Strategy, Policy, Procedures and Complaints				
31.01	Property Acquisition				
	Records of the acquisition of ownership of properties	Disposal of property + 12 years	JISC guidelines	Transfer to University Archive	Acquisitions
	Deeds and certificates of title for University Partner properties	Disposal of property	JISC guidelines	Transfer to new owner with property	Title Deeds
	Records of negotiations for properties where the property was not acquired	Closure of negotiations +6 years	1973 c.52 Limitation Act 1980 c. 58 s.2	Destroy	Property Not Acquired Negotiations
	Records of the acquisition of use of properties by lease or rental Note: for retention of formal legal agreements, see Legal Affairs	Expiry of lease + 15 years	1973 c.52 Limitation Act 1980 c. 58 s.2	Transfer to University Archive	Leases

	Management – Contracts and Agreements Management				
	Building plans	Permanent	University partnership guidelines	Transfer to University Archive	Building plans
31.02	Property Development				
	Records of the development of properties, including <i>project files</i>	Ownership of property	JISC guidelines	Transfer to new owner with property	Property Development
	Records documenting applications for planning consents required to (re)develop property and consents granted.	Disposal of property or expiry of consent	JISC guidelines	Transfer to new owner with land	Planning Consent Applications
	Health and Safety File for a structure, as required by Regulation 14(d) of the Construction (Design and Management) Regulations 1994 (SI 1994/3140)	Demolition of property OR Disposal of interest in property	The Construction (Design and Management) Regulations (SI 2015/51) Regulation 12	Review for interest and transfer to University Archive	Facilities Health and Safety
31.03	Property Maintenance				
	Records of the inspection, maintenance and repair of properties	Completion of work + 5 years	SI 1997/1840 JISC guidelines	Review for interest and transfer to University Archive	Inspections and Maintenance Works

	Records of minor maintenance works on properties	Completion of works + 15 years	Limitation Act 1980 c. 58 s.2	Transfer to new owner with property	Minor Maintenance Works
	Records of major maintenance works on properties	Ownership of property	JISC guidelines	Transfer to new owner with property	Major Maintenance Works
	Records of inspections to assess whether asbestos is (or is liable to be) present in a building or on land	Review of assessment + 10 years	SI 2002/2675	Destroy	Asbestos Detection Assessments
	Records documenting the removal of hazardous materials from properties	Removal of material + 5 years	JISC guidelines	Destroy	Hazardous Materials Removal
31.04	Property Disposal				
	Records of the disposal of properties by sale, transfer or donation	Disposal of properties + 12 years (for deeds) or 6 years where these are not deeds	1973 c.52 Limitation Act 1980 c. 58 s.8	Transfer to University Archive	Property Disposal
31.05	Property Compliance Management				
	Records of the conduct and results of inspections of properties by the enforcing authorities, and action taken to address issues raised.	Completion of subsequent inspection	JISC guidelines	Destroy	Property Compliance Inspections
	Fire and other certificates	Issue of new certificate	JISC guidelines	Destroy	Property Certificates
31.06	Property Security Management				

	Records of the conduct and results of security inspections of properties, and action taken to address issues raised	Date of inspection/Superseded + 5 years	JISC guidelines	Destroy	Property Security Inspections
	Records of property access controls to secure areas (e.g. access registers, key registers, security data logs)	Creation +2 years	JISC guidelines	Destroy	Property Access Controls
	Records of security passes issued to visitors, employees, ID cards for staff and students	Expiry of pass +1 year	JISC guidelines	Destroy	Security Passes
	Records of the conduct of routine security surveillance of properties	Creation +1 month	JISC guidelines	Destroy	Property Security Surveillance
	Records of security breaches or incidents and action taken	Last action on incident +1 year	JISC guidelines	Destroy	Property Security Incidents
31.07	Property Leasing-Out				
	Records of leasing-out arrangements for properties Fleet – all documentation related to company vehicles Licenses to occupy FM contracts for buildings Tenancy schedules	End of lease + 12 years (for deeds) or 6 years where these are not deeds	1973 c.52 Limitation Act 1980 c. 58 s. 5	Transfer to University Archive	Property Leasing
	Motor Vehicle Allowance Scheme checks	CAY + 3 years	University Partnership guidance	Destroy	Motor Vehicle Allowance Scheme

	MiDAS license details	CAY + 6 years	University Partnership guidance	Destroy	MiDAS
31.08	Facilities Development				
	Records of the specification of requirements for facilities	Completion of works + 15 years	Limitation Act 1980 c. 58 s. 14	Transfer to University Archive	Requirement Specifications for Facilities
	Records of the development of interior design and fit-out schemes	Completion of works + 15 years	Limitation Act 1980 c. 58 s. 14	Transfer to University Archive	Interior Design and Fit-out Development
	Records of carrying out interior decoration and fitting-out works	Completion of works + 15 years	Limitation Act 1980 c. 58 s. 14	Destroy	Interior Design and Fit-out Works
31.09	Facilities Maintenance				
	Records of the conduct and results of inspections of facilities, and action taken to address issues raised	Completion of two subsequent inspections	JISC guidelines	Destroy	Facilities Inspections
	Records of carrying out major maintenance works within facilities	Completion of works + 15 years	Limitation Act 1980 c. 58 s. 14B	Destroy	Facilities Maintenance Works
	Contractor’s work and reports, planned maintenance works, maintenance register. Documentation and registers for equipment and buildings maintenance	Completion of work + 5 years	University Partnership guidelines	Destroy	Maintenance Management
31.10	Facilities Security Management				

	Records of the conduct and results of security inspections of facilities and action taken to address issues raised	Completion of two subsequent inspections	JISC guidelines	Destroy	Facilities Security Inspection Outcomes
	Records of the conduct of routine surveillance of facilities	Creation + 1 month	JISC guidelines	Destroy	Routine Facilities Surveillance
	Records of occurrences of unauthorised access to facilities, and action taken	Last action on incident + 1 year	JISC guidelines	Transfer to University Archive	Unauthorised Access to Facilities
31.11	Facilities Relocation Management				
	Records of plans for the relocation of facilities within buildings or to other buildings	Completion of relocation + 10 years	JISC guidelines	Transfer to University Archive	Facilities Relocation Plans
	Records of the physical relocation of facilities	Completion of relocation + 2 years	JISC guidelines	Transfer to University Archive	Physical Relocation Records
	Documentation managing staff hosted per location: costs, access, planning etc	End of hosting + 6 years	University Partnership guidelines	Review then transfer to University Archive	Hosting
31.12	Facilities Compliance				
	Records documenting the conduct and outcomes of inspections of facilities by enforcing authorities.	Completion of subsequent inspection	University Partnership guidelines	Review then transfer to University Archive	Facilities Compliance
	Original facilities licenses and certificates	Superseded	University Partnership guidelines	Review then transfer to	Facilities licenses and certificates

				University Archive	
31.13	Student Accommodation				
	Records documenting the establishment of formal contractual relationship between institutional accommodation and student.	Termination of contract + 6 years	Limitation Act 1980	Delete	Student residence contract
	Records documenting the development and establishment of the institution's accommodation allocation plan and policy for the corresponding year.	Superseded + 10 years	JISC guidelines	Delete	Accommodation allocation plan
	Records documenting the student's application to accommodation provided by institution's accommodation: Successful applications.	Superseded by the contract if accepted (see contracts)	Limitation Act 1980	Delete	Successful student residence contracts
	Records documenting the student's application to accommodation provided by institution's accommodation: Unsuccessful applications.	Start of current academic year + 1 year	JISC guidelines	Delete	Unsuccessful student residence contracts
	Records documenting the students application to accommodation provided by institution's accommodation: Specific requirements – supporting evidence	Decision + 3 months			Student accommodation application supporting evidence
	Records documenting the handling of enquiries from prospective and current students.	Current academic year + 2 years	JISC guidelines	Delete	Prospective and current student accommodation enquiries
	Records documenting the room facilities associated with the contracted room and common areas.	End of academic year + 6 years	Limitation Act 1980	Delete	Accommodation facilities

	Records documenting the development and establishment of institution’s accommodation rents for the corresponding year.	Superseded + 10 years	JISC guidelines	Delete	Development and establishment of rents
	Records documenting the collation of students in list format for information purposes: Business need.	Superseded or end of academic year	JISC guidelines	Delete	Student accommodation lists
	Records documenting the request to alter student allocation.	End of current academic Year	JISC guidelines	Delete	Request to change student accommodation
	Incidence reports relating to student accommodation (unless covered under HEALTH AND SAFETY section).	Last action + 1 year	JISC guidelines	Delete	Student accommodation incident reports
	Record documenting student’s withdrawal request that may result in termination of accommodation licence: [Institution] accommodation resident.	End of licence + 1 year	JISC guidelines	Delete	Academic withdrawal requests

PROCUREMENT

For acquisition of land and buildings, use **29.6 Estate Management – Property Acquisition**.

For acquisition by donation, use **8.10 Public Relations Management – Donation Management**.

Ref	Description	Retention	Citation	Action	UHI Classification tags
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32	PROCUREMENT Scope: Acquiring ownership or use of goods, works and services through purchase or lease.				
	See General retention schedule for the retention periods and actions for Strategy, Policy, Procedures and Complaints				
32.01	Supplier Approval				
	Procurement documentation in preparation for formal procurement procedure	Superseded + 5 years	JISC guidelines	Destroy	Pre-procurement documentation
	Records of supplier evaluation criteria	Superseded + 5 years	JISC guidelines	Destroy	Supplier Evaluation Criteria
	Invitations to prospective suppliers to apply for approval	Expiry of invitation OR rejection of application + 6 months OR completion of approval	JISC guidelines	Destroy	Supplier Approval Invitations
	Evaluations of applications for approval from prospective suppliers and notification of the outcome: approved suppliers	End of approval	JISC guidelines	Destroy	Approved Suppliers Evaluation
	Evaluations of applications for approval from prospective suppliers and notification of the outcome: rejected suppliers	Rejection +1 year	JISC guidelines	Destroy	Rejected Suppliers Evaluation
	Supplier database	While current	JISC guidelines	Destroy	Supplier database
32.02	Supply Contract Tendering				
	Records of the process of inviting and evaluating pre-qualification submissions from prospective suppliers	Award of supply contract + 1 year	SI1991/2680 SI1993/3228 SI1995/201	Destroy	Pre-Qualification Submissions

Records of Invitations to Tender and tender evaluation criteria	End of supply contract + 6 years	1973 c.52 Limitation Act 1980 c. 58 s. 5 SI1991/2680 SI1993/3228 SI1995/201	Destroy	Invitations to Tender Criteria
Records of the issue of Invitations to Tender and handling incoming tenders	Award of supply contract + 1 year	SI1991/2680 SI1993/3228 SI1995/201	Destroy	Invitations to Tender
Tender documentation	While current	University partnership	Transfer to University Archive	Tender
Records of the evaluation of tenders, the conduct of negotiations with tenderers and the notification of results of the tender evaluation process: rejected tenders	Award of supply contract + 1 year	SI1991/2680 SI1993/3228 SI1995/201	Destroy	Rejected Tender Evaluations
Records of the evaluation of tenders, the conduct of negotiations with tenderers and the notification of results of the tender evaluation process: accepted tenders	End of supply contract awarded + 6 years	1973 c.52 Limitation Act 1980 c. 58 s. 5 SI1991/2680 SI1993/3228 SI1995/201	Destroy	Accepted Tender Evaluations

	Records documenting contracts awarded, containing the information specified in Regulation 32 (14) of the Public Contracts Regulations 2006 (SI 2006/5) or by Regulation 32(14) of the Public Contracts (Scotland) Regulations 2006 (SSI 2006/1)	End of supply contract awarded + 10 years	SI 2006/5 SSI 2006/1 Limitation Act 1980 c. 58 s. 5	Transfer to University Archive	Contracts Awarded
	Statistical reports prepared for the Office of Government Commerce, as required by Regulation 40 of the Public Contracts Regulations 2015 (SI 2015/102) or for the Scottish Ministers, as required by the Public Contracts (Scotland) Regulations 2015 (SSI 2015/446).	Current year + 3 years	SI1991/2680 SI1993/3228 SI2015/446 Public Contracts Scotland Regulations JISC guidelines	Transfer to University Archive	Contracts Awarded HM Treasury Reports
32.03	Supply Contract Management				
	Contract variations (e.g. revisions, extensions)	End of contract + 6 years. NB. This is a minimum retention term. These records may be retained for longer if required	1973 c.52 Limitation Act 1980 c. 58 s. 5	Destroy	Supplier Contract Variations
	Monitoring of supplier performance and action taken regarding under-performance	End of contract + 6 years. NB. This is a minimum retention term. These records may be retained for longer if required	1973 c.52 Limitation Act 1980 c. 58 s. 5	Destroy	Supplier Performance

	Supplier contracts and documentation to support monitoring of contract Supplier codes of conduct agreements Award letters	End of contract + 6 years. NB. This is a minimum retention term. These records may be retained for longer if required	1973 c.52	Review then transfer to University Archive	Supplier contract management
32.04	Purchasing Administration				
	Records of purchasing authorisation limits	Superseded + 1 year	JISC guidelines	Destroy	Purchase Authorisation Limits
	Internal authorisations for procurement	CFY + 1 year	JISC guidelines	Destroy	Internal Procurement Authorisation
	Purchase orders	CFY +6 years*	1973 c.52 Limitation Act 1980 c. 58 s. 5 HMCE 700/21 para 5.2*	Destroy	Purchase Orders
	Goods received notes/Goods inward notes	CFY +6 years*	1973 c.52 Limitation Act 1980 c. 58 s. 5 HMCE 700/21 para 5.2*	Destroy	Goods Received Notes/Goods Inwards Notes

HEALTH AND SAFETY MANAGEMENT

Ref	Description	Retention	Citation	Action	UHI Classification tags
33	HEALTH AND SAFETY MANAGEMENT				
	See General retention schedule for the retention periods and actions for Strategy, Policy, Procedures and Complaints				
33.01	Health and Safety Compliance				
	Records of the conduct and results of health and safety audits, and action taken to address issues raised	Completion of audit + 5 years	1974 c.37	Transfer to University Archive	Health and Safety Audits
	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)	CAY + 5 years	SI 2005/1541	Review, then transfer to University Archive	Fire Safety premises, facilities and equipment maintenance
	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 2005 (SI 2005/1541)	Review of assessment + 5 years	SI 2005/1541	Review, then transfer to University Archive	Fire-fighting equipment assessment
	Records documenting the provision of role-specific and Safety drill training for 'competent persons' to implement fire-fighting measures in the institution's premises to fulfil the institution's duties under Article 13 of the Regulatory Reform (Fire Safety) Order 2005 2005 (SI 2005/1541)	CAY or Superseded + 5 years	SI 2005/1541	Review, then transfer to University Archive	Fire-fighting training

	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).	Current year + 5 years OR Superseded + 5 years	SI 2005/1541	Review, then transfer to University Archive	Emergency Services arrangements
	Records documenting the appointment of competent persons for fire-fighting duties; first aiders	Termination of appointment	University Partnership	Delete	Appointment of 'competent persons' or first aiders
	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).	Current year + 3 years OR Superseded + 3 years	SI 1981/917	Review, then transfer to University Archive	First aider training
	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)	Review of assessment + 5 years	SI 1981/917	Review, then transfer to University Archive	Fire-fighting equipment assessment
	Records of health screening of an employee: employees exposed to hazardous substances during employment	End of employment + 40 years	SI2002/2675 SI2002/2676 SI2002/2677	Destroy	Hazardous Substance Health Screening

	Records of pre-employment health screening of an employee: other employees - Blood and blood products: hepatitis test recommendation	End of employment + 6 years	1973 c.52	Destroy	Health Screening
	Records of the issue of personal protective equipment/other special equipment to an employee	End of employment + 6 years	1973 c.52	Destroy	Protective Equipment
	Records of major injuries to an employee arising from accidents in the workplace	End of employment + 40 years	University partnership guidelines	Transfer to University Archive	Major Workplace Injuries
33.02	Health and Safety Consultation				
	Notifications of appointments of safety representatives by trade unions/election of employee health and safety representatives under Regulation 3 of the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500)	End of appointment +1 year	S.I.1977/500	Destroy	Health and Safety Representative Appointment Notifications
	Records of proceedings and decisions of health and safety representative	Current year + 50 years	S.I.1977/500	Destroy	Safety Representative Consultations
	Records documenting the establishment of a safety committee to fulfil the institution's duty under s 2(7) of the Health and Safety at 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	Dissolution of committee + 50 years	S.I.1977/500	Review, then transfer to University Archive	Health and Safety Committee

	records documenting the objectives, role, functions, composition and administration of the committee				
33.03	Health and Safety Information, Instruction and Training Provision				
	Records of the provision of information, instruction and training for employees, students and others on health and safety in University Partner premises.	Superseded + 5 years	SI 1981/917 SI 1989/635 SI 1989/682 SI 1989/1790 SI 1992/2792 SI 1992/2793 SI 1992/2932 SI 1992/2966 SI 1996/341 SI 1997/1840 SI 1998/2306 SI 1999/3242 SI 2002/2675 SI 2002/2676 SI 2002/2677	Destroy	Health and Safety Information, Instruction and Training Provision
	Records of the content of information and instruction on health and safety matters provided for members of the public and others with legitimate access to premises, and other methods of delivery	Superseded + 5 years	1957 c.31 1974 c.37 S.I.1999/3242	Destroy	Health and Safety Information, Instruction and Training Provision

33.04	Health and Safety Hazard Identification and Risk Assessment				
	Records of the significant findings of health and safety risk assessments Covid related risk assessments of premises COSSH assessments MSDS documents DSE assessments Manual handling Fire assessments Noise assessments Data sheets PUWER assessments Radiation Risk assessments PEEPs	Review of assessment + 5 years	S.I.1999/3242	Review then transfer to University Archive	Health and Safety Hazard Identification and Risk Assessment
	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 and Safety (Display Screen) Equipment Regulations 1992 (SI 1992/2792)	Superseded + 10 years	SI 1992/2792	Review then transfer to University Archive	Display Screen Equipment risk assessment
	Records documenting the training and information for employees using workstations, to fulfil the institution's duties under Regulation 2 of the Health and Safety (Display Screen) Equipment Regulations 1992 (SI 1992/2792)	Superseded + 5 years	SI 1992/2792	Delete	Display Screen Equipment risk assessment
33.05	Hazardous Substance Exposure Control				

Records of hazardous substances present /in use	Updated + 40 years	S.I.2002/2677	Destroy	Hazardous Substances Register
List of employees exposed to Group 3 or Group 4 biological agents (defined in the Regulations).	Last entry +40 years	S.I.2002/2677	Destroy	Employees Exposed to Group 3 or 4 Agents
Records of accidents and incidents involving Group 3 or Group 4 biological agents (defined in the Regulations).	Date of recording +40 years*	S.I.2002/2677*	Destroy	Individual Exposure to Hazardous Substances
Records of the conduct and results of risk assessments for work involving substances hazardous to health, as defined in the Regulations cited.	Elimination of risk + 5 years <i>or</i> Review / updating of assessment + 5 years	S.I.2002/2677	Review then transfer to University Archive	Health Hazard Risk Assessments
Records of the examination, testing and repair of plant and equipment provided to control exposure to substances hazardous to health.	Date of examination / test / repair + 5 years*	S.I.2002/2677*	Destroy	Health Hazard Equipment Maintenance
Records of the conduct and results of monitoring of exposure of employees to substances hazardous to health: general exposure.	Date of action + 5 years*	S.I.2002/2677*	Review then transfer to University Archive	General Exposure to Hazardous Substances Monitoring
Records documenting the conduct and results of monitoring of exposure of employees to substances hazardous to health: exposure of identifiable individual employees.	Date of monitoring + 40 years*	S.I.2002/2677*	Review then transfer to University Archive	Individual Exposure to Hazardous Substances

	Health surveillance records of identifiable individual employees who are exposed to substances hazardous to health.	Date of last entry on record + 40 years*	S.I.2002/2677*	Destroy	Hazardous Substances Exposure Health Surveillance
33.06	Health and Safety Inspection				
	Records of the conduct and results of health and safety inspections of University Partner land, buildings, facilities or operations, and action taken to address issues raised	CAY + 5 years	1974 c.37 S.I.1999/3242	Destroy	Health and Safety Inspections
33.07	Health and Safety Incident Recording, Reporting and Investigation				
	Records of accidents, dangerous occurrences and outbreaks of notifiable diseases on University Partner premises to fulfil the institution's duties under Regulation 7 of the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (SI 2013/1471)	Review then transfer to University Archive	S.I.1979/628* S.I.1985/967* S.I.1995/3163* SI 2013/1471	Transfer to University Archive	Health and Safety Incident Register
	Records of investigations of accidents, dangerous occurrences and outbreaks of notifiable diseases on University Partner premises	Closure of investigation + 40 years	Limitation Act 1980 c. 58 s 11	Transfer to University Archive	Health and Safety Incident Investigations
	Notifications and reports of accidents, dangerous occurrences and outbreaks of notifiable diseases to enforcing authorities	Date of notification + 3 years	S.I.1995/3163	Destroy	Health and Safety Incident Reports
33.08	Employee Health Surveillance				

	Records of pre-employment health screening of an employee	End of employment + 40 years	1973 c.52	Destroy	Pre-employment Health Screening
	Health (surveillance) records of identifiable individual employees, other than those specified below	Date of last surveillance action + 40 years	1973 c.52 S.I.1999/3242	Destroy	Identifiable Individuals Health Records
	Health (surveillance) records of identifiable individual employees who are exposed to substances hazardous to health, as defined by the Regulations cited	Date of last entry on record + 40 years*	S.I.2002/2677*	Destroy	Identifiable Individuals Health Records Hazardous Substance Exposure
	Health (surveillance) records of identifiable individual employees who are exposed to lead, as required by the Regulations cited	Date of last entry on record + 40 years*	S.I.2002/2677	Destroy	Identifiable Individuals Health Records Lead Exposure
	Health (surveillance) records of identifiable individual employees who are exposed to asbestos, as required by the Regulations cited	Date of last entry on record + 40 years*	S.I.2002/2675*	Destroy	Identifiable Individuals Health Records Asbestos Exposure
	Overseas travel risk assessment forms	Completion of travel + 1 year	University partnership guidelines	Destroy	Overseas travel risk assessment forms

ENVIRONMENTAL MANAGEMENT

Ref	Description	Retention	Citation	Action	UHI Classification tags
34	ENVIRONMENTAL MANAGEMENT Managing the impact of the University Partner and its business on the environment, and ensuring compliance with environmental legislation (Estates and Buildings).				

	See General retention schedule for the retention periods and actions for Strategy, Policy, Procedures and Complaints				
34.01	Environmental Audit				
	Records of the conduct and results of environmental audits, and action taken to address issues raised.	Completion of audit + 5 years	JISC guidelines	Transfer to University Archive	Environmental Audit
34.02	Environmental Hazard Identification and Risk Assessment				
	Records documenting identified environmental hazards to the institution, or created by its operations, and the conduct and results of risk assessments.	Elimination of risk OR Updating of risk assessment + 5 years	JISC guidelines	Destroy	Environmental Hazard Identification and Risk Assessment
34.03	Environmental Management Scheme Accreditation Management				
	Records of the attainment and maintenance of the University Partner's accreditation under established environmental management schemes.	End of accreditation + 1 year	University partnership guidelines	Destroy	Environmental Management Scheme Accreditation Management
34.04	Environmental Awareness Promotion				
	Records of action taken to raise awareness of environmental issues among employees, other staff and students.	Current year + 5 years	University partnership guidelines	Destroy	Environmental Awareness Promotion
34.05	Environmental Incident Recording, Reporting and Investigation				
	Records of the recording of environmental incidents on the premises or caused by operations.	Last action on incident + 40 years	JISC guidelines	Transfer to	Environmental Incidents Recording

				University Archive (Potential longterm liability)	
	Records of the investigation of environmental incidents on the premises or caused by operations.	Closure of investigation + 40 years	JISC guidelines	Transfer to University Archive (Potential longterm liability)	Environmental Incidents Investigations
	Notifications and reports of reportable environmental incidents to enforcing authorities	Date of notification + 5 years	JISC guidelines	Destroy	Environmental Incidents Notification and Reporting
34.06	Energy Management				
	Records of routine monitoring of the use and consumption of energy.	Current year +5 years	JISC guidelines	Destroy	Energy Consumption
	Records of the conduct and results of formal reviews of the use and consumption of energy, and action taken to address issues raised.	Completion of review +5 years	JISC guidelines	Destroy	Energy Consumption Reviews
34.07	Waste Management				
	Records of the classification, collection and storage of 'special waste' prior to removal from the premises for disposal.	Removal of waste consignment + 3 years	SI 1996/972*	Destroy	Special Waste Register

Register of 'special waste' removed from the premises for disposal by registered / licensed contractors.	Removal of waste consignment + 3 years*	SI 1996/972*	Destroy	Hazardous Waste Disposal
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EQUIPMENT and CONSUMABLES MANAGEMENT

Ref	Description	Retention	Citation	Action	UHI Classification tags
35	EQUIPMENT and CONSUMABLES MANAGEMENT				
	See General retention schedule for the retention periods and actions for Strategy, Policy, Procedures and Complaints				
35.01	Equipment and consumables selection				
	Specifications for and selection of major items	Life of item + 6 years	1973 c.52 Limitation Act 1980 c. 58 s. 5	Transfer to University Archive	Major Equipment and Consumables Specifications
	Specifications for and selection of items which are safety critical or associated with hazardous operations	Life of item + 40 years	JISC guidelines	Transfer to University Archive	Safety Critical Equipment and Consumables Specifications
35.02	Equipment and consumables storage				
	Monitoring of the condition of stored items	Current year +1 year	JISC guidelines	Destroy	Equipment and Consumables Storage Monitoring

	Stock inventory	Superseded	JISC guidelines	Destroy	Equipment and Consumables Inventory
	Routine stocktaking and stock checking	Current year +1 year Current year + 3 years for University partner libraries	University partnership guidelines	Destroy	Equipment and Consumables Stocktaking and Checking
	Movement of stock into and out of storage	Current year +1 year	JISC guidelines	Destroy	Equipment and Consumables Storage Movements
35.03	Equipment Installation/Commissioning				
	Installation of major items	Decommissioning/removal + 6 years	1973 c.52 Limitation Act 1980 c. 58 s. 5 SI 1998/2306	Destroy	Major Equipment Installation
	Installation of items which are safety critical or associated with hazardous operations	Decommissioning/removal + 40 years	1973 c.52 Limitation Act 1980 c. 58 s. 5 SI 1998/2306	Destroy	Safety Critical Equipment Installation
	Installation of other items	Decommissioning/removal + 1 year	SI 1998/2306	Destroy	Other Equipment Installation
	Reports of pre-commissioning examinations of lifting equipment, as required by the regulations cited	Decommissioning*	SI 1998/2307 Regulation 11(2)(a)(i) and 11(2)(a)(iii)*	Destroy	Pre-Commissioning Lifting Equipment Examination Reports
	Pre-commissioning examinations of accessories for lifting, as required by the regulations cited	Issue of report + 2 years*	SI 1998/2307 Regulation	Destroy	Pre-commissioning examinations of accessories for lifting

			11(2)(a)(i) and 11(2)(a)(iii)*		
	Post-installation examinations of lifting equipment, as required by the regulations cited	Decommissioning*	SI 1998/2307 Regulation 11(2)(a)(i) and 11(2)(a)(iii)*	Destroy	Post-installation examinations of accessories for lifting
35.04	Equipment Inspection and Testing records				
	Inspection and testing records	Completion of next inspection or disposal of item +1 year	SI 1998/2306 Limitation Act 1980 c. 58 s. 5	Destroy	Equipment Inspection, Testing, Maintenance
	Inspection and testing records: major items	Decommissioning/Removal + 6 years	SI 1998/2306 Limitation Act 1980 c. 58 s. 5	Destroy	Equipment Inspection, Testing, Maintenance: Major items
	Inspection and testing records of items which are safety critical or associated with hazardous operations	Disposal of item +5 years	SI 1997/1840	Destroy	Hazardous Substances, Lead and Asbestos Equipment Inspection, Testing, Maintenance
	Maintenance logs for equipment	Life of equipment + 6 years	SI 1998/2306 Limitation Act 1980 c. 58 s. 5	Destroy	Maintenance Logs
	Records documenting inspections of equipment, made under Regulation 6 of the Provision and Use of Work Equipment Regulations 1998 (SI 1998/2306).	Completion of next report	SI 1998/2306 Limitation Act 1980 c. 58 s. 5	Destroy	Work Equipment Regulations Equipment Inspections
35.05	Equipment and Consumables Disposal				

	Authorisations for the disposal of items, and the evaluation of alternative methods of disposal	Disposal of item +1 year	JISC guidelines	Destroy	Equipment and Consumables Disposal Authorisation
	Cleaning/sanitisation prior to disposal of items used in connection with operations involving substances hazardous to health	Disposal of item + 15 years	1973 c.52 Limitation Act 1980 c. 58 s. 5	Destroy	Hazardous Substances Equipment and Consumables Cleaning and Sanitisation
	Cleaning/sanitisation of other items prior to disposal	Disposal of item + 6 years	Limitation Act 1980 c. 58 s. 5	Destroy	Other Equipment and Consumables Cleaning and Sanitisation
	Transfers of ownership	Disposal of item +1 year	JISC guidelines	Destroy	Equipment and Consumables Transfer of Ownership

EQUALITY AND DIVERSITY

Ref	Description	Retention	Citation	Action	UHI Classification tags
36	EQUALITY AND DIVERSITY The function of managing the University Partner's compliance with legislation on equal opportunities				
	See General retention schedule for the retention periods and actions for Strategy, Policy, Procedures and Complaints				
36.01	Equality and Diversity Monitoring				
	Records containing summary statistical information resulting from equality monitoring.	CAY + 5 years	JISC guidelines	Transfer to	Equality and Diversity Monitoring

	Athena SWAN			University Archive	
36.02	Equality and Diversity Training				
	Records documenting the development and delivery of training on equality and diversity issues and procedures	CAY + 5 years	JISC guidelines	Destroy	Equality and Diversity Training
36.03	Equality and Diversity Compliance				
	Records demonstrating equality and diversity compliance - Equality impact assessments - Accessibility assessments - Disability equality assessment - Race equality assessment - Gender equality assessment	CAY + 5 years	JISC guidelines	Destroy	Equality and Diversity Compliance
	Records documenting the preparation/revision of the institution's Disability/Gender Equality Scheme	Superseded + 5 years	JISC guidelines	Review, then transfer to University Archive	Equality scheme

CONSULTANCY AND PROJECT MANAGEMENT

Ref	Description	Retention	Citation	Action	UHI Classification tags
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37	CONSULTANCY AND PROJECT MANAGEMENT The function of managing the University Partner's consultancies and projects				
	See General retention schedule for the retention periods and actions for Strategy, Policy, Procedures and Complaints				
37.01	Consultancy and Project Management				
	Key consultancy project records	Termination of contract + 6 years	JISC guidelines	Review then transfer to University Archive or destroy	Consultancy Project Records
	Consultancy project working papers	Termination of contract + 3 years	JISC guidelines	Review then transfer to University Archive or destroy	Consultancy Project Working Papers
	General UHI funded projects, departmental non research	Completion of project + 10 years	JISC guidelines	Review then transfer to University Archive	Completed Projects

	Non-implemented projects	Receipt of notification that project was unsuccessful + 1 year	JISC guidelines	Review then transfer to University Archive or destroy	Non-implemented Projects
	Project development and post-implementation modification	Termination of contract + 3 years	JISC guidelines	Review then transfer to University Archive or destroy	Project Development and Post-implementation Modification
	Project management	Termination of project + 3 years	JISC guidelines	Review then transfer to University Archive or destroy	Project Management
37.02	Consultancy and Project Delivery				
	Final project deliverables/outcomes versions	Termination of contract + 6 years	Limitation Act 1980 c. 58 s. 5	Review then transfer to University	Final Project Deliverables/Outcomes Versions

				Archive or destroy	
	Project deliverables/outcomes drafts	Termination of contract + 3 years	JISC guidelines	Review then transfer to University Archive or destroy	Project Deliverables/Outcomes Drafts
	Project work documentation	Termination of contract + 3 years	JISC guidelines	Review then transfer to University Archive or destroy	Project work documentation
	Project work scheduling	Termination of contract	JISC guidelines	Destroy	Project work scheduling
37.03	Consultancy and Project Promotion				
	Directories of expertise	While current	JISC guidelines	Keep updated at all times	Directories of Expertise
37.04	Consultancy and Project Prospect Management				
	Accepted consultancy proposals/tenders working papers	Termination of contract + 6 years	JISC guidelines	Review then transfer	Accepted Consultancy Proposals/Tenders

				to University Archive or destroy	
	Key successful consultancy proposals/tenders records	Termination of contract + 6 years	JISC guidelines	Review then transfer to University Archive or destroy	Successful Consultancy Proposals/Tenders
	No further enquiries consultancy enquiries	Last action on enquiry + 1 year	JISC guidelines	Destroy	No Further Enquiries Consultancy Enquiries
	Unsuccessful consultancy/tender proposals	Receipt of notification that proposal/tender was unsuccessful + 1 year	JISC guidelines	Destroy	Unsuccessful Consultancy/Tenders

BUSINESS UNIT MANAGEMENT

Ref	Description	Retention	Citation	Action	UHI Classification tags
38	BUSINESS UNIT MANAGEMENT The function of managing the University Partner's business units				
	See General retention schedule for the retention periods and actions for Strategy, Policy, Procedures and Complaints				

38.01	Business unit meeting administration				
	Business unit meeting documentation	CAY + 3 years	JISC guidelines	Review then transfer to University Archive or destroy	Business Unit Meeting documentation
	Business unit meeting arrangements	CAY	JISC guidelines	Destroy	Business Unit Meetings Arrangements
38.02	Business unit travel administration				
	Business unit travel arrangements	Completion of travel + 3 months	JISC guidelines	Destroy	Business Unit Travel Arrangements
38.03	Business unit work monitoring				
	Business unit works progress	CAY	JISC guidelines	Review then transfer to University Archive or destroy	Business Unit Works Progress
38.04	Business unit work planning and scheduling				

	Business unit desk diaries	CAY + 1 year	JISC guidelines	Review then transfer to University Archive or destroy	Business Unit Desk Diaries
	Business unit work allocation	CAY	JISC guidelines	Review then transfer to University Archive or destroy	Business Unit Work Allocation
38.05	Business unit administration				
	Business unit administration	End of operation	University Partnership guidelines	Review then transfer to University Archive	Business unit administration

CONFERENCE MANAGEMENT

Ref	Description	Retention	Citation	Action	UHI Classification tags
39	CONFERENCE/MEETING MANAGEMENT The function of managing University Partner conferences and meetings				
	See General retention schedule for the retention periods and actions for Strategy, Policy, Procedures and Complaints				
39.01	Conference meeting/Meeting administration				
	Conference meeting/Meeting documentation	CAY + 3 years	JISC guidelines	Review then transfer to University Archive or destroy	Conference/Meeting documentation
	Conference meeting/Meeting arrangements	CAY	JISC guidelines	Destroy	Conference/Meeting Arrangements
39.02	Conference/Meeting travel administration				
	Conference/Meeting travel arrangements	Completion of travel + 3 months	JISC guidelines	Destroy	Conference/Meeting Travel Arrangements
39.03	Conference work monitoring				
	Conference works progress	CAY	JISC guidelines	Review then transfer to University	Conference Works Progress

				Archive or destroy	
39.04	Conference planning and scheduling				
39.05	Conference administration				
	Conference administration	End of operation	University Partnership guidelines	Review then transfer to University Archive	Conference administration

PUBLICATIONS

Ref	Description	Retention	Citation	Action	UHI Classification tags
40	PUBLICATIONS The function of managing University Partner publications				
	See General retention schedule for the retention periods and actions for Strategy, Policy, Procedures and Complaints				
40.01	Publication production and distribution				
	Records documenting the design, commissioning, editing and production of publications	Issue of publication + 1 year	JISC guidelines	Review then transfer to University	Publication production

				Archive or destroy	
	Records documenting the distribution of publications Distribution lists Subscription renewal forms	CAY + 1 year	JISC guidelines	Destroy	Publication distribution
40.02	Publication marketing				
	Marketing plans for publications	Life of publication	JISC guidelines	Destroy	Conference/Meeting Travel Arrangements

LIBRARIES

Ref	Description	Retention	Citation	Action	UHI Classification tags
41	LIBRARIES The function of managing University Partner libraries				
41.01	Library Management – Library Promotion				
	Records documenting the design and development of promotional materials	While materials are current	JISC guidelines	Archive	Promotional Materials
	Records documenting the design and implementation of promotional events	Last action on event + 5 years	JISC guidelines	Archive	Promotional Events
	Records documenting enquiries about collections and the responses given	Last action on enquiry + 1 year	JISC guidelines	Destroy	Collections Enquiries
41.02	Library Management – Collections Use				

	Records documenting the receipt and evaluation of requests / proposals for use of resources which are not accepted	Last action on request / proposal + 1 year	JISC guidelines	Destroy	Rejected Proposals and Requests Evaluations
	Records documenting authorised proposals and evaluations for resources	Completion of use + 5 years	JISC guidelines	Check for funding retention requirements, otherwise, destroy	Authorised Proposals and Requests Evaluations
	Records documenting the authorised use of resources	Completion of use + 5 years	JISC guidelines	Destroy	Authorised Use of Resources
	Records documenting authorised users of resources. Overdue letters	End of academic year + 3 months (or until outstanding loans are resolved)	University partnership guidelines	Destroy	Library user records
	Collections management activities (acquisitions; forms and labels; guides; lib reports etc). to be used for smaller academic partner libraries	While current	University partnership guidelines	Review, then transfer to University archive or delete	Library collections management
41.03	Library Management – Resource Acquisition				
	Records documenting the management of resource acquisitions. Vendor relationships, procurement documentation (eg. APUC, print books and e-resources acquisition). Book orders	CAY + 10 years CAY + 5 years for university partner libraries	University partnership guidelines	Destroy	Resource acquisition
41.04	Library Management – Borrowing Procedures				
	Records documenting borrowing procedures. Activities include borrowing guides, procedures, policy, library user guidelines	While current	University partnership guidelines	Archive	Borrowing procedures
41.05	Library Management – Library Classification Schemes				

Records documenting the library classification scheme, shelving plans and development	While current	University partnership guidelines	Transfer to University Archive	Classification and Shelving
Catalogues/indexes. Records documenting key information library resources in the institution's collections	While current	University partnership guidelines	Transfer to University Archive	Catalogue Records
Records documenting library resources which have left the institution's premises.	Return of item + 10 years	JISC guidelines	Destroy	Circulation Records
Records documenting loans of library resources to other organisations or to individuals.	Return of loaned item + 10 years Return of loaned item + 5 years for university partner libraries	University partnership guidelines	Destroy	Inter-Library Loans Records
Records documenting the process of selecting publications to purchase	Completion of purchase	JISC guidelines	Destroy	Publication Purchase Selection
Records documenting decisions to (dis)continue purchase of publications.	Last action on issue + 1 year	JISC guidelines	Destroy	Publication Discontinuation Selection
Records documenting the authorisation for the disposal of redundant publications	Disposal of publications + 1 year	JISC guidelines	Destroy	Redundant Publication Disposal
Records documenting the terms and conditions for e-resources	Licensing period + 6 years	University partnership guidelines	Review, then transfer to University archive or delete	E-resources licensing terms and conditions

Citations - Related Policies, Procedures, Guidelines and Other Resources

Acts of the UK Parliament

1960 c.30	Occupiers Liability (Scotland) Act 1960
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1969 c.57	Employers' Liability (Compulsory Insurance) Act 1969
1970 c.9	Taxes Management Act 1970
1970 c.41	Equal Pay Act 1970
1973 c.52	Prescription and Limitation (Scotland) Act 1973
1974 c.37	Health and Safety at Work etc. Act 1974
1975 c.65	Sex Discrimination Act 1975
1976 c.74	Race Relations Act 1976
1980	Limitations Act
1992 c.4	Social Security Contributions and Benefits Act 1992
1994 c.23	Value Added Tax Act 1994
1994 c.30	Education Act 1994
1995 c.50	Disability Discrimination Act 1995
2018 a.9	Data Protection Act 2018

Other provisions

HMCE 700/21	HM Customs and Excise Notice 700/21: Keeping [VAT] records and accounts
IR CA30	Statutory Sick Pay Manual for employers CA30
HC2631	UK Visas and Immigration instructions on document retention for HE/FE. Reflection of statement of changes for immigration in HC2631

Statutory Instruments of the UK Parliament

S.I. 1977 / 500	The Safety Representatives and Safety Committees Regulations 1977
S.I. 1979 / 628	Social Security (Claims and Payments) Regulations 1979
S.I. 1981 / 917	The Health and Safety (First Aid) Regulations 1981
S.I. 1982 / 894	The Statutory Sick Pay (General) Regulations 1982
S.I. 1985 / 967	Social Security (Industrial Injuries)(Prescribed Diseases) Regulations 1985
S.I. 1986 / 1960	The Statutory Maternity Pay (General) Regulations 1986
S.I. 1989 / 635	The Electricity at Work Regulations 1989
S.I. 1989 / 682	The Health and Safety Information for Employees Regulations 1989
S.I. 1989 / 1790	The Noise at Work Regulations 1989
S.I. 1991 / 2680	The Public Works Contracts Regulations 1991
S.I. 1991 / 2839	Environmental Protection (Duty of Care) Regulations 1991
S.I. 1992 / 2792	The Health and Safety (Display Screen Equipment) Regulations 1992
S.I. 1992 / 2793	The Manual Handling Operations Regulations 1992
S.I. 1992 / 2932	The Provision and Use of Work Equipment Regulations 1992
S.I. 1992 / 2966	The Personal Protective Equipment at Work Regulations 1992
S.I. 1993 / 744	The Income Tax (Employments) Regulations 1993
S.I. 1993 / 3228	The Public Services Contracts Regulations 1993
S.I. 1995 / 201	The Public Supply Contracts Regulations 1995
S.I. 1995 / 3163	The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995
S.I. 1996 / 341	The Health and Safety (Safety Signs and Signals) Regulations 1996
S.I. 1996 / 972	The Special Waste Regulations 1996
S.I. 1996 / 1513	The Health and Safety (Consultation with Employees) Regulations 1996

S.I. 1997 / 1840	The Fire Precautions (Workplace) Regulations 1997
S.I. 1998 / 1833	The Working Time Regulations 1998
S.I. 1998 / 2306	The Provision and Use of Work Equipment Regulations 1998
S.I. 1998 / 2307	The Lifting Operations and Lifting Equipment Regulations 1998
S.I. 1998 / 2573	The Employers' Liability (Compulsory Insurance) Regulations 1998
S.I. 1999 / 584	The National Minimum Wage Regulations 1998
S.I. 1999 / 3242	The Management of Health and Safety at Work Regulations 1999
S.I. 1999 / 3312	The Maternity and Parental Leave etc. Regulations 1999
S.I. 2002 / 2675	The Control of Asbestos at Work Regulations 2002
S.I. 2002 / 2676	The Control of Lead at Work Regulations 2002
S.I. 2002 / 2677	The Control of Substances Hazardous to Health Regulations 2002

Appendix 1. SITS records and tables

Student Data Retention Period

- 7 years after end of relationship for non-European project funded students
- 12 years for European project funded students

Student data

Student data includes:

- Course applications
- Finance application details
- Fees data
- Student Records timetabling and absence
- Module/Unit registrations
- Course enrolments

- Forms completed on UHI Records
- Personal characteristic data
- Address and contact details
- Student Support plans
- Generated correspondence and uploaded documents
- Awards

End of relationship

End of relationship is defined as the last meaningful contact with the institution which may be, depending on the student circumstances:

- Clearing of student debt where a debt exists
- Award
- Enrolment
- Successful application to a course, but did not start the course

Direct applications will be removed annually, and an anonymised applicant statistical report will be made available to staff before data is removed.

Technical Data Retention period

Technical data retention period is set at 90 days. This is captured when student or staff perform activities in UHI Records or SITS client and when people attempt to log into the system. These can include details such as:

- IP address
- Browser type
- Dates of activities
- Programmes accessed
- Transaction details

Direct applications will be removed annually, and an anonymised applicant statistical report will be made available to staff before data is removed.

Staff Data Retention period

The retention period for staff data is set at 80 years. Staff records (PRS) are held for 80 years from the last updated date held in the system. Once a staff member has left, the personnel record will be set to 'not in use' and reduced to a skeleton record of just name and ID.

SQA Return Data

Details of interactions between UHI and partners and SQA are held in several auditing tables. Data within these tables will be removed annually in agreement with academic partners.

Cut-off date

Archiving activities will be based on a cut-off date of 1 November each academic year. Once data has been removed from SITS, a transcript will be available for the student from the University Archive. Access to transcripts is routed through designated registry staff at each academic partner.