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FUNCTION	SCOPE	SCOPE INCLUDES ...	TYPE OF RECORD	RETENTION PERIOD	OWNER OF RECORD	AUTHORITY
TEACHING & LEARNING SUPPORT	The function of delivering the institution's taught programmes which lead to academic awards. The function of developing and delivering learning support resources (1) to support taught students in developing academic skills (2) and personal skills.	Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.				
Teaching & Learning Strategy Development	The activities involved in developing and establishing the institution's teaching strategy.		Key Records: documenting the development and establishment of the institution's teaching and learning support strategy. E.g. Approved strategy, minutes, reports, supporting papers.	Superseded + 10 years	Director of Instil	JISC Guidance
Teaching & Learning Strategy Development			Working Records: documenting the development and establishment of the institution's teaching and learning support strategy. E.g. Approved strategy, minutes, reports, supporting papers.	Issue of strategy + 1 year	Director of Instil	JISC Guidance
Teaching & Learning Support Policy Development	The activities involved in developing and establishing the institution's policies on teaching.		Key Records: documenting the development and establishment of the institution's teaching and learning support policies.	Superseded + 10 years	Director of Instil	JISC Guidance
Teaching & Learning Support Policy Development			Working Records: documenting the development and establishment of the institution's teaching and learning support policies.	Issue of policy + 1 year	Director of Instil	JISC Guidance
Teaching & Learning Support Procedure Development	The activities involved in developing the institution's procedures for teaching.	Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.	Records documenting the development of the institution's procedures relating to teaching and learning support.	Issue of procedures + 1 year	Director of Instil	JISC Guidance
Teaching & Learning Support Procedure Development			Master copies of procedures relating to teaching and learning support. Includes guidelines and regulations.	Superseded + 5 years	Director of Instil	JISC Guidance
TEACHING						
Teaching Quality & Standards Management	The activities involved in managing the quality and standards of the institution's teaching.	Activities include: conducting internal reviews of teaching quality and standards, including peer reviews; facilitating and participating in external reviews of teaching quality and standards; collecting data on teaching quality and standards (Teaching Quality Information) as required by the Higher Education Funding bodies.	Records documenting the development of the institution's internal quality assurance processes.	While current	Director of Instil	JISC Guidance
Teaching Quality & Standards Management			Records documenting the conduct and results of formal internal reviews of teaching quality, and responses to the results. E.g. Reports, minutes, supporting documents.	Current academic year + 5 years	Director of Instil	JISC Guidance
Teaching Quality & Standards Management			Records documenting the conduct and results of external reviews and audits of teaching quality and standards.	Current academic year + 5 years	Director of Instil	JISC Guidance
Taught Programme Development	The activities involved in developing the institution's taught programmes.	Activities include: designing and developing new programmes and new modules in existing programmes; revising existing programmes and modules; withdrawing programmes or modules; obtaining and maintaining accreditation for programmes.	Records documenting the design and development of (modules of) taught programmes.	Life of programme + 10 years	Director of Instil	JISC Guidance
Taught Programme Development			Records documenting the process of obtaining approval and/or accreditation for (modules of) taught programmes from professional, statutory or other accreditation bodies.	Life of programme	Director of Instil	JISC Guidance
Taught Programme Review	The activities involved in reviewing the institution's taught programmes to inform ongoing programme development.	Activities include: collecting and analysing student numbers and other programme statistics; collecting, reviewing and responding to feedback on programmes from staff, students, external examiners and others.	Records containing data on, and analyses of, student numbers and other taught programme statistics.	Current academic year + 5 years	Head of Planning	JISC Guidance
Taught Programme Review			Records documenting routine solicited feedback on taught programmes from staff and examiners: individual feedback.	Current academic year + 5 years OR Life of course + 1 year	Director of Instil	JISC Guidance
Taught Programme Review			Records documenting routine solicited feedback on taught programmes from students: individual feedback	Completion of analysis of feedback	Director of Instil	JISC Guidance
Taught Programme Review			Records containing (anonymised) summaries and analyses of routine solicited feedback on taught programmes from staff, examiners and students.	Current academic year + 5 years OR Life of course + 1 year	Head of Planning	JISC Guidance
Taught Programme Review			Records containing reports of routine internal reviews of taught programmes.	Current academic year + 5 years	Director of Instil	JISC Guidance

FUNCTION	SCOPE	SCOPE INCLUDES ...	TYPE OF RECORD	RETENTION PERIOD	OWNER OF RECORD	AUTHORITY
Taught Programme Review			Records documenting the conduct and results of formal independent reviews of taught programmes, and the responses to the results.	Current academic year + 5 years	Director of Instil	JISC Guidance
Taught Programme Delivery	The activities involved in delivering the institution's taught programmes.	Activities include: preparing teaching and learning materials; planning and conducting teaching and learning events; providing opportunities for students to gain formative feedback on their learning (e.g. through peer assessment of presentations or completion of self-assessment tasks).	Records documenting the preparation of teaching and learning materials.	Current academic year + 1 year	Director of Instil	JISC Guidance
Taught Programme Delivery			Records documenting the planning and conduct of teaching and learning events.	Current academic year + 1 year	Director of Instil	JISC Guidance
Student Performance Assessment	The activities involved in conducting assessment to measure students' achievement of the intended learning outcomes of the institution's taught programmes.	Activities include: setting assessments; marking/grading assessments; reviewing marks/grades awarded in response to notifications of mitigating circumstances; conducting meetings of examination boards; determining awards and classifications.	Records documenting the design and development of assessments.	Life of programme	Director of Instil	JISC Guidance
Student Performance Assessment			Records documenting submitted/completed assessments: formative assessments.	Current academic year	Head of Registry	JISC Guidance
Student Performance Assessment			Records documenting submitted/completed assessments: summative assessments.	Confirmation of marks/grades by Board of Examiners + 6 months.	Head of Registry	JISC Guidance
Student Performance Assessment			Records documenting marks/grades given to submitted/completed summative assessments and, where appropriate, awards and classifications.	Current academic year + 6 years	Director of Instil	Limitation Act 1980
Student Monitoring & Support	The activities involved in monitoring, reviewing and supporting students' progress and attainment on the institution's taught programmes.	Activities include: providing support and guidance to taught students on programme/module selection; providing academic feedback, advice and guidance to students; providing advice and guidance to students whose progress is unsatisfactory or who are considering suspending or terminating their studies.	Records documenting feedback on academic progress, and general academic guidance and support, given to individual taught students.	Completion of student's programme + 6 years	Director of Instil	Limitation Act 1980

FUNCTION	SCOPE	SCOPE INCLUDES ...	TYPE OF RECORD	RETENTION PERIOD	OWNER OF RECORD	AUTHORITY
RESEARCH	The function of undertaking academic research.					
Research Strategy & Policy Development	The activities involved in developing and establishing the institution's research strategy.	Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.	Key Records: documenting the development and establishment of the institution's research strategy and policies.	Superseded + 10 years	Director of Instil	JISC Guidance
Research Strategy & Policy Development			Working Records: documenting the development and establishment of the institution's research strategy and policies.	Issue of strategy/policies + 1 year	Director of Instil	JISC Guidance
Research Procedure Development	The activities involved in developing the institution's procedures for undertaking research.	Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.	Records documenting the development of the institution's procedures relating to research.	Issue of procedures + 1 year	Director of Instil	JISC Guidance
Research Procedure Development			Master copies of procedures relating to research.	Superseded + 10 years	Director of Instil	JISC Guidance
Research Quality & Standards Management	The activities involved in managing the quality and standards of research undertaken in the institution.	Activities include: conducting internal reviews of research quality and standards; facilitating and participating in external reviews and audits of research quality and standards.	Records documenting the development of the institution's internal quality assurance processes.	While current	Director of Instil	JISC Guidance
Research Quality & Standards Management			Records documenting the conduct and results of formal internal reviews of research quality, and responses to the results.	Current academic year + 5 years	Director of Instil	JISC Guidance
Research Quality & Standards Management			Records documenting the conduct and results of external reviews and audits of research quality and standards.	Current academic year + 5 years	Director of Instil	JISC Guidance
Research Business Development	The activities involved in promoting the institution's research capabilities and profile, and in developing new research opportunities.	Activities include: liaising with research sponsors to monitor their research policies and objectives, and to promote the institution's research capabilities, projects and achievements; identifying and developing new research opportunities; identifying and targeting research funding opportunities; identifying and developing opportunities for collaboration and partnership to undertake research.	Records documenting liaison with research sponsors to monitor their research policies and to promote the institution's capabilities.	Current academic year + 5 years	Head of Quality Assurance	JISC Guidance
Research Business Development			Records documenting the identification and exploration of new research opportunities which lead to research projects.	Completion of project	Head of Quality Assurance	JISC Guidance
Research Business Development			Records documenting the identification and exploration of new research opportunities which do not lead to research projects.	Last action + 5 years	Head of Quality Assurance	JISC Guidance
Research Business Development			Records documenting the formation and management of partnerships and other collaborative arrangements to undertake research.	Life of partnership/arrangement + 6 years	Director of Instil	Limitation Act 1980
Research Design & Planning	The activities involved in designing and planning research projects.	Activities include: generating, capturing and developing ideas for research projects; defining research aims and objectives; defining research methods; defining project roles and responsibilities; securing necessary ethical reviews and regulatory approvals; determining requirements for project resources; preparing research proposals.	Records documenting the design and planning of research projects which are not undertaken.	Abandonment of plans + 1 year	Director of Instil	JISC Guidance
Research Design & Planning			Records documenting the design and planning of research projects which are undertaken: key records.	Completion of project + 10 years	Director of Instil	JISC Guidance
Research Design & Planning			Records documenting the design and planning of research projects which are undertaken: working papers.	Completion of project. (NB: retention for longer period may be advisable, depending on the reasons for abandoning the project).	Director of Instil	JISC Guidance
Research Funding Administration	The activities involved in obtaining and administering research funding through grants and contracts, and in co-ordinating the institution's relationships with funders.	Activities include: preparing and submitting applications for funding; negotiating (where applicable) terms and conditions of funding; accepting/declining funding awards; administering funding in accordance with award terms and conditions (claiming payments from funders, re-allocating funds within budgets etc.); administering amendments to awards (e.g. supplements, extensions, early termination); submitting reports required by funders.	Records documenting the preparation and submission of applications for funding, where the application is unsuccessful (i.e. does not result in the offer of a funding award).	Receipt of notification that application was unsuccessful + 1 year	Director of Instil	JISC Guidance
Research Funding Administration			Records documenting the preparation and submission of applications for funding, where the application is successful (i.e. results in the offer of a funding award).	Completion of project (i.e. termination of award) + 6 years	Director of Instil	Limitation Act 1980
Research Conduct	The activities involved in conducting research.		Records documenting the conduct of all research funded by all organisations including NIHR (National Institute For Health Research).	Completion of project + 10 years	Head of Schools/PVC	Stated or implied requirements of UK Research Councils and other significant research sponsors. See <i>Guidance on Managing Research Records</i> .

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Research Reporting	The activities involved in disseminating research results.	Activities include: publishing research results; presenting research results at technical meetings.	Working Papers for the preparation of publications, audio-visual presentations etc. to disseminate research results (NOT interim or final research reports).	Publication/Delivery + 1 year	Head of Schools/PVC	JISC Guidance
Research Reporting			Final versions of publications and presentations made to disseminate research results (NOT interim or final research reports).	Publication/Delivery + 3 years	Head of Schools/PVC	JISC Guidance
Research Project Management	The activities involved in managing the conduct of research projects from formal initiation (following receipt of funding) to formal completion.	Activities include: monitoring and tracking the progress of research; preparing reports for project stakeholders; arranging appropriate insurance; managing project resources and complying with institutional policies and procedures to protect project staff, participants and the environment; facilitating and assisting with monitoring activities and audits conducted by the institution, by external project sponsors/funders or by regulatory bodies; selecting research partners and subcontractors, and managing relationships with them; managing the process of offering research data to, and depositing it with, external research data archives, and ensuring future compliance with the terms and conditions of deposit.	Records documenting the management of internally-funded research projects.	Completion of project + 3 years	PVC	Common internal audit requirement
Research Project Management			Records documenting the management of externally-funded research projects.	Completion of project + 6 years	PVC	Limitation Act 1980
Research Programme Development	The activities involved in developing the institution's research programmes.		Records documenting the development of the institution's research programmes.	Life of programme + 10 years	PVC	JISC Guidance
Research Programme Development			Records documenting routine monitoring of external developments and trends to inform the development of the institution's research programmes.	Current academic year + 1 year	PVC	JISC Guidance
Research Programme Review	The activities involved in reviewing the institution's research programmes.		Records containing data on, and analyses of, student numbers and other programme statistics.	Current academic year + 3 years	PVC	JISC Guidance
Research Programme Review			Records containing reports of routine internal reviews of research programmes.	Current academic year + 5 years	PVC	JISC Guidance
Research Programme Review			Records documenting the conduct and results of formal independent reviews of research programmes, and the responses to the results.	Current academic year + 5 years	PVC	JISC Guidance
Research Programme Assessment	The activities involved in conducting formal assessments of students undertaking research programmes.		Records documenting the conduct of formal assessments of work undertaken by research students.	Completion of student's programme + 6 years	PVC	Limitation Act 1980
Research Programme Assessment			Records documenting awards and classifications, including reviews in response to notifications of mitigating circumstances or academic appeals.	Current academic year + 6 years	PVC	Limitation Act 1980
Research Supervisor Appointment & Training	The activities involved in appointing research supervisors and in providing training for them.		Records documenting the appointment of supervisors for research students.	Termination of appointment + 1 year	PVC	JISC Guidance
Research Student Monitoring & Support	The activities involved in monitoring, reviewing and supporting research student the academic progress of research students.	Activities include: providing support and guidance to research students on subject selection; providing feedback to students on their progress; conducting formal reviews of student progress; providing students with general academic advice and guidance; providing students with opportunities to develop their research and other skills; providing advice and guidance to students whose progress is unsatisfactory or who are considering suspending or terminating their studies.	Records documenting 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	PVC	Limitation Act 1980

FUNCTION	SCOPE	SCOPE INCLUDES ...	TYPE OF RECORD	RETENTION PERIOD	OWNER OF RECORD	AUTHORITY
INTELLECTUAL PROPERTY RIGHTS (IPR) The function of commercially exploiting the institution's intellectual property rights (IPR).						
IPR IPR Licensing	The activities involved in licensing the institution's IPR rights to external organisations.	Activities include: negotiating terms of licences; registering licences (and cancelling licences) with The (UK) Patent Office; determining arrangements for revenue sharing between the institution and the inventor.	The University's Trade Mark documentations. Records documenting the negotiation and completion of IPR licence agreements to third parties.	Termination of licence + 6 years	University Secretary	Limitation Act 1980
CONSULTANCY The function of providing consultancy to external organisations on a commercial basis.						
Consultancy Prospect Management	The activities involved in responding to enquiries about the institution's consultancy services and in bidding for consultancy contracts.	Activities include: handling enquiries about the institution's consultancy capabilities/availability/terms; preparing proposals/tenders for consultancy projects.	Records documenting the preparation and submission of consultancy proposals/tenders, where the proposal/tender is unsuccessful (i.e. does not result in a contract).	Receipt of notification that proposal/tender was unsuccessful + 1 year	Head of Schools	JISC Guidance
Consultancy Prospect Management			Key Records: documenting the preparation and submission of consultancy proposals/tenders, where the proposal/tender is successful (i.e. results in a contract).	Termination of contract + 6 years	Head of Schools	Limitation Act 1980
Consultancy Prospect Management			Working Papers: documenting the preparation and submission of consultancy proposals/tenders, where the proposal/tender is accepted (i.e. results in a contract).	Agreement of contract	Head of Schools	JISC Guidance
Consultancy Contract Management	The activities involved in negotiating and managing contracts to provide consultancy.	Activities include: negotiating contract terms and conditions; negotiating subsequent variations to contracts.	Key Records: documenting the negotiation and agreement of contracts, and subsequent variations to contracts.	Termination of contract + 6 years	Head of Schools	Limitation Act 1980
Consultancy Contract Management			Working Papers: documenting the negotiation and agreement of contracts, and subsequent variations to contracts.	Agreement of contract	Head of Schools	JISC Guidance
Consultancy Project Management	The activities involved in managing the conduct of consultancy projects from formal initiation to formal completion.	Activities include: monitoring and tracking the progress of work; preparing reports for clients and other stakeholders; arranging appropriate insurance; managing project resources and ensuring compliance with institutional policies and procedures; maintaining project records.	Key Records: documenting the management of consultancy projects.	Termination of contract + 3 years	Head of Schools	Common audit requirement
Consultancy Project Management			Working Papers: documenting the management of consultancy projects.	Termination of contract	Head of Schools	JISC Guidance
Consultancy Project Delivery	The activities involved in providing consultancy.	Activities depend on the type of consultancy being provided. They might include: conducting research; conducting surveys/audits; providing advice; giving presentations; facilitating workshops; providing training.	Records documenting the scheduling of meetings, interviews and other project work.	Termination of contract	Head of Schools	JISC Guidance
Consultancy Project Delivery			Records documenting substantive project work.	Termination of contract + 3 years	Head of Schools	Common audit requirement
Consultancy Project Delivery			Draft versions and working papers: documenting project deliverables/outcomes.	Termination of contract	Head of Schools	JISC Guidance
Consultancy Project Delivery			Final versions and confirmations of client acceptance: documenting project deliverables/outcomes.	Termination of contract + 6 years	Head of Schools	Limitation Act 1980
EDUCATION & TRAINING The function of developing and delivering education and training programmes for external organisations, and for the public.						
Education & Training Strategy Development	The activities involved in developing and establishing the institution's strategy for providing education and training programmes for external organisations, and for the public.	Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.	Key Records: documenting the development and establishment of the institution's education and training strategy.	Superseded + 10 years	Director of Instil	JISC Guidance
Education & Training Strategy Development			Working Papers: documenting the development and establishment of the institution's education and training strategy.	Issue of strategy + 1 year	Director of Instil	JISC Guidance
Education & Training Policy Development	The activities involved in developing and establishing the institution's policies on providing education and training programmes for external organisations, and for the public.	Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.	Key Records: documenting the development and establishment of the institution's policies on education and training.	Superseded + 10 years	Director of Instil	JISC Guidance
Education & Training Policy Development			Working Papers: documenting the development and establishment of the institution's policies on education and training.	Issue of policy + 1 year	Director of Instil	JISC Guidance

FUNCTION	SCOPE	SCOPE INCLUDES ...	TYPE OF RECORD	RETENTION PERIOD	OWNER OF RECORD	AUTHORITY
Education & Training Procedure Development	The activities involved in developing the institution's procedures for providing education and training programmes for external organisations, and for the public.	Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.	Records documenting the development of the institution's procedures relating to education and training.	Issue of procedures + 1 year	Director of Instil	JISC Guidance
Education & Training Procedure Development			Master copies of procedures relating to education and training.	Superseded + 5 years	Director of Instil	JISC Guidance
Education & Training Programme Development	The activities involved in developing education and training programmes.	Activities include: developing new programmes and new modules in existing programmes; making changes to existing programmes and modules; withdrawing programmes or modules; obtaining and maintaining accreditation for programmes.	Records documenting the development of education and training programmes.	Life of programme + 5 years	Director of Instil	JISC Guidance
Education & Training Programme Review	The activities involved in reviewing education and training programmes to inform ongoing programme development.	Activities include: collecting and analysing student numbers and other programme statistics; collecting, reviewing and responding to feedback on programmes from staff and students.	Records containing data on, and analyses of, student numbers and other programme statistics.	Current academic year + 5 years	Head of Planning	JISC Guidance
Education & Training Programme Delivery	The activities involved in delivering education and training programmes.	Activities include: preparing teaching and learning materials; planning and conducting teaching and learning events.	Records documenting the preparation of teaching and learning materials.	Current academic year + 1 year	Director of Instil	JISC Guidance
Education & Training Programme Delivery			Records documenting the planning and conduct of teaching and learning events.	Current academic year + 1 year	Director of Instil	JISC Guidance
Education & Training Programme Assessment	The activities involved in assessing students' progress and attainment on education and training programmes.	Activities include: setting assessments; marking/grading assessments; reviewing marks/grades awarded in response to notifications of mitigating circumstances; conducting meetings of/with examiners/assessors to confirm marks/grades; determining awards and classifications.	Records documenting the design and development of assessments.	Life of programme	Director of Instil	JISC Guidance
Education & Training Programme Assessment			Records documenting submitted/completed assessments: formative assessments.	Current academic year	Director of Instil	JISC Guidance
Education & Training Programme Assessment			Records documenting submitted/completed assessments: summative assessments.	Confirmation of marks/grades + 6 months.	Director of Instil	JISC Guidance
Education & Training Programme Assessment			Records documenting marks/grades given to submitted/completed summative assessments and, where appropriate, awards and classifications.	Current academic year + 6 years	Director of Instil	Limitation Act 1980
Education & Training Contract Management	The activities involved in negotiating and managing contracts with external organisations for the provision of bespoke education and training programmes.	Activities include: negotiating contract terms and conditions; negotiating subsequent variations to contracts.	Records documenting the negotiation and establishment of contracts.	Termination of contract + 6 years	Director of Instil	Limitation Act 1980

FUNCTION	SCOPE	SCOPE INCLUDES ...	TYPE OF RECORD	RETENTION PERIOD	OWNER OF RECORD	AUTHORITY
STUDENT ADMINISTRATION	The function of administering the institution's contractual relationships with its students.					
Student Administration Policy Development	The activities involved in developing and establishing the institution's policies on student administration.	Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.	Key Records: documenting the development and establishment of the institution's student administration policies.	Superseded + 10 years	Academic Registrar	JISC Guidance
Student Administration Policy Development			Working Papers: documenting the development and establishment of the institution's student administration policies and procedures.	Issue of policy/procedure + 1 year	Academic Registrar	JISC Guidance
Student Administration Procedure Development	The activities involved in developing the institution's procedures for the administration of students.	Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.	Master copies of procedures relating to student administration.	Superseded + 10 years	Academic Registrar	JISC Guidance
Student Recruitment	The activities involved in recruiting students to the institution.	Activities include: designing and conducting student recruitment campaigns; designing and organising student recruitment events (e.g. open days and recruitment fairs); designing and operating student recruitment schemes (e.g. school liaison); issuing recruitment materials (e.g. to schools); handling enquiries from prospective students; analysing recruitment and retention data.	Records documenting the design, conduct and summary results of student recruitment campaigns, events and schemes.	Completion of campaign + 5 years	Director of Marketing	JISC Guidance
Student Recruitment			Records documenting the issue of student recruitment materials in bulk to schools and other organisations.	Current academic year	Director of Marketing	JISC Guidance
Student Recruitment			Records documenting the handling of enquiries from prospective students.	Current academic year + 1 year	Director of Marketing	JISC Guidance
Student Recruitment			Records containing summaries and analyses of enquiry, recruitment and retention data.	Current academic year + 5 years	Head of Planning	JISC Guidance
Student Admission	The activities involved in admitting students to the institution.	Activities include: determining and applying admissions criteria; handling applications for admission; administering the clearing process; monitoring overall student numbers.	Records documenting the development and establishment of the institution's admission criteria.	Superseded + 10 years	Academic Registrar	JISC Guidance
Student Admission			Records documenting the handling of applications for admission: successful applications.	End of student relationship + 6 years	Head of Admissions	Limitation Act 1980
Student Admission			Records documenting the handling of applications for admission: unsuccessful applications.	Minimum: Completion of admissions process + 6 months. Recommended: Completion of admissions process + 1 year.	Head of Admissions	The Employment Equality Regulations 2006 SI 2006/1031 Regulations 23, 39 and 42 Employment Equality (Religion or Belief) Regulations 2003 SI 2003/1660 Regulations 20, 31 and 34 Sexual Orientation Regulations 2003 SI 2003/1661 Regulations 20, 31 and 34
Student Admission			Records documenting the administration of the clearing process.	Current academic year + 1 year	Head of Admissions	JISC Guidance
Student Admission			Records containing data on overall student numbers.	Current academic year + 1 year	Head of Planning	JISC Guidance
Student Registration	The activities involved in registering students in academic programmes.	Activities include: advising students on selection of programmes and modules; confirming payment of fees, including validating evidence of awards which include payment of fees; providing information and advice on funding opportunities for students; issuing student (identification) cards.	Records documenting the registration of individual students on programmes.	Termination of student relationship + 6 years	Head of Registry	Limitation Act 1980
Student Registration			Records containing summaries and analyses of data on registration of students on programmes	Current academic year + 5 years	Head of Planning	JISC Guidance
Student Induction	The activities involved in designing and organising induction programmes for new students.	Activities include: developing student induction programmes (e.g. Freshers Week); organising programmed events; recruiting and organising staff and students to lead and support programmed events.	Records documenting the design, conduct and review of induction programmes for new students.	Completion of induction programme + 5 years	Applicable Head of Department or School	JISC Guidance
Student Induction			Records documenting the administration of induction programmes and events for new students.	Current academic year + 1 year	Applicable Head of Department or School	JISC Guidance

FUNCTION	SCOPE	SCOPE INCLUDES ...	TYPE OF RECORD	RETENTION PERIOD	OWNER OF RECORD	AUTHORITY
Student Records Administration	The activities involved in 1) compiling and maintaining complete and accurate records of the progress, attainment and conduct of students throughout their relationship with the institution 2) making students' records, and aggregated student data and analyses available to departments to support other institutional activities.	Activities include: setting up student records for new students; collecting data and updating student records in accordance with institutional rules and regulations (e.g. data on criminal convictions); conducting standard analyses of data on students; conducting ad hoc analyses of data to meet specific requirements; distributing student records, and aggregated data and analyses, to departments in accordance with institutional rules and regulations and in compliance with legal restrictions on the collection, handling and use of personal data; producing transcripts for current and former students; confirming awards and providing general references for students; conducting First Destination Surveys.	Records containing personal data on individual students	Minimum requirement varies for different types of personal data. Recommended <u>maximum</u> retention: End of 'registered student' relationship with institution + 6 years	Head of Registry	Limitation Act 1980
Student Records Administration			Records containing standard analyses of data from individual students' records.	Current academic year + 5 years	Head of Registry & Head of Planning	JISC Guidance
Student Records Administration			Records documenting the handling of requests for ad hoc analyses of data from individual students' records.	Last action on request + 1 year	Head of Registry	JISC Guidance
Student Records Administration			Records documenting the handling of individual students' requests for statements of results/transcripts.	Last action on request + 1 year	Head of Registry	JISC Guidance
Student Records Administration			Records documenting the handling of requests for confirmation of individual students' awards, attendance or conduct from employers and other educational institutions.	Last action on request + 1 year	Head of Registry	JISC Guidance
Student Records Administration			Records documenting the design and conduct of First Destination Surveys.	Current academic year + 5 years	Head of Planning	JISC Guidance
Student Records Administration			First Destination Surveys: individual responses	Completion of analysis of responses	Head of Planning	JISC Guidance
Student Records Administration			Records containing (anonymised) summaries and analyses of the results of First Destination Surveys.	Current academic year + 5 years	Head of Planning	JISC Guidance
Student Progress Administration	The activities involved in tracking the academic progress of students, administering changes to programmes of study and ensuring that correct procedures are followed.		Records documenting the academic progress of individual students and formal action taken by the institution to deal with unsatisfactory progress.	Termination of relationship with student + 6 years	Academic Registrar	Limitation Act 1980
Student Progress Administration			Records documenting the transfer of individual students to new programmes or to new courses within programmes.	Termination of relationship with student + 6 years	Academic Registrar	Limitation Act 1980
Student Progress Administration			Records documenting the withdrawal of individual students from the institution.	Termination of relationship with student + 6 years	Academic Registrar	Limitation Act 1980
Student Progress Administration			Records documenting the termination of individual students' programmes.	Termination of relationship with student + 6 years	Academic Registrar	Limitation Act 1980
Student Disciplinary Case Handling	The activities involved in conducting disciplinary proceedings against students for breaches of the institution's academic regulations or for misconduct.	Activities include: investigating allegations against students; informing students of disciplinary decisions and imposing penalties; considering appeals by students against disciplinary decisions or penalties imposed.	Records documenting the conduct and results of disciplinary proceedings against individual students.	Last action on case + 6 years	Academic Registrar	Limitation Act 1980
Student Academic Appeal Handling	The activities involved in handling appeals by students against academic decisions.	Activities include: reviewing original marks; considering mitigating circumstances; informing students of decisions on appeals.	Records documenting the handling and results of academic appeals by individual students.	Last action on case + 6 years	Academic Registrar	Limitation Act 1980
Student Complaint Handling	The activities involved in handling formal complaints by students against the institution.	Activities include: reviewing student complaints; informing students of decisions on complaints; referring student complaints for independent review by the Office of the Independent Adjudicator for Higher Education.	Records documenting the handling of formal complaints made by individual students against the institution.	Last action on case + 6 years	Academic Registrar	Limitation Act 1980
Student Complaint Handling			Records documenting the handling of complaints by individual students where the formal complaints procedure is not initiated.	Last action on complaint + 3 years	Academic Registrar	JISC Guidance
ACADEMIC PROGRAMME ADMINISTRATION	The function of administering the delivery of the institution's academic programmes.					
Academic Programme Administration Policy Development	The activities involved in developing and establishing the institution's policies on the administration of academic programmes.	Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.	Key Records: documenting the development and establishment of the institution's academic programme administration policies.	Superseded + 5 years	Academic Registrar	JISC Guidance
Academic Programme Administration Policy Development			Working Papers: documenting the development and establishment of the institution's academic programme administration policies and procedures: working papers.	Issue of policy/procedures + 1 year	Academic Registrar	JISC Guidance
Academic Programme Administration Procedure Development	The activities involved in developing the institution's procedures for the administration of academic programmes.	Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.	Master copies of procedures relating to academic programme administration.	Superseded + 5 years	Academic Registrar	JISC Guidance

FUNCTION	SCOPE	SCOPE INCLUDES ...	TYPE OF RECORD	RETENTION PERIOD	OWNER OF RECORD	AUTHORITY
Academic Programme Co-ordination	The activities involved in co-ordinating the delivery of academic programmes.	Activities include: timetabling teaching; compiling class and tutorial lists; scheduling the submission, marking and return of assessed work, and monitoring compliance with these schedules; monitoring students' attendance; organising required work placements; issuing attendance certificates for postgraduate research students.	Records documenting the administration of academic programmes.	Current academic year + 3 years	Academic Registrar	JISC Guidance
ACADEMIC AWARD ADMINISTRATION The function of administering the conferment of the institution's academic awards.						
Academic Award Administration Policy Development	The activities involved in developing and establishing the institution's policies on the conferment of academic awards.	Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.	Key Records: documenting the development and establishment of the institution's academic award administration policies.	Superseded + 5 years	Academic Registrar	JISC Guidance
Academic Award Administration Policy Development			Working Papers: documenting the development and establishment of the institution's academic award administration policies and procedures.	Issue of policy/procedures + 1 year	Academic Registrar	JISC Guidance
Academic Award Administration Procedure Development	The activities involved in developing the institution's procedures for the conferment of academic awards.	Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.	Master copies of procedures relating to academic award administration.	Superseded + 5 years	Academic Registrar	JISC Guidance
Academic Award Conferment	The activities involved in administering the conferment of the institution's academic awards.	For awards to students, activities include: issuing lists and individual notifications of awards; organising the production of awards certificates; issuing awards certificates to students who do not attend awards ceremonies. For honorary awards, activities include: inviting and receiving nominations for honorary awards; considering nominations for honorary awards and preparing recommendations for submission to the appropriate committee; issuing offers of awards and handling responses.	Records documenting the notification of awards to students and the issue of awards certificates.	Conferment of award + 1 year	Head of Registry	JISC Guidance
Academic Award Conferment			Records documenting the process of inviting, receiving and considering nominations for honorary awards.	Conferment of award + 1 year	Directorate	JISC Guidance
Academic Award Conferment			Records documenting offers of honorary awards and responses received.	Conferment of award + 1 year	Directorate	JISC Guidance
Award Ceremony Administration	The activities involved in organising awards ceremonies.	Activities include: determining dates, times and venues for ceremonies; planning ceremonies; issuing invitations and/or tickets for ceremonies; designing programmes for ceremonies and arranging production and distribution; organising official photography of ceremonies; organising media coverage of ceremonies.	Records documenting the organisation of award ceremonies.	Completion of ceremony + 1 year	Head of Registry	JISC Guidance
Award Ceremony Administration			Records documenting the production of award certificates.	Completion of ceremony + 1 year	Head of Registry	JISC Guidance
Award Ceremony Administration			Records documenting the mailing of award certificates to students who do not attend ceremonies.	Completion of ceremony + 1 year	Head of Registry	JISC Guidance
STUDENT ASSESSMENT ADMINISTRATION The function of administering the conduct of student assessment.						
Academic Assessment Administration Policy Development	The activities involved in developing and establishing the institution's policies on the conduct of academic assessments.	Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.	Key Records: documenting the development and establishment of the institution's academic assessment administration policies.	Superseded + 10 years	Academic Registrar	JISC Guidance
Academic Assessment Administration Policy Development			Working Papers: documenting the development and establishment of the institution's academic assessment administration policies and procedures.	Issue of policy/procedure + 1 year	Academic Registrar	JISC Guidance

FUNCTION	SCOPE	SCOPE INCLUDES ...	TYPE OF RECORD	RETENTION PERIOD	OWNER OF RECORD	AUTHORITY
Academic Assessment Administration Procedure Development	The activities involved in developing the institution's procedures for the conduct of academic assessments.	Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.	Master copies of procedures relating to academic assessment administration.	Superseded + 10 years	Academic Registrar	JISC Guidance
External Examiner Administration	The activities involved in recruiting, appointing and supporting external examiners.	Activities include: recruiting and appointing external examiners; liaising with external examiners on administrative matters (e.g. accommodation, expenses).	Records documenting the selection and appointment of external examiners.	Termination of appointment + 1 year	Head of Registry	JISC Guidance
External Examiner Administration			Records documenting liaison with external examiners on administrative matters.	Current academic year + 1 year	Head of Registry	JISC Guidance
Assessment Administration	The activities involved in administering assessments.	Activities include: appointing and training examination invigilators; controlling examination materials; timetabling examinations; organising examination facilities (including arrangements for students with disabilities); monitoring attendance at examinations and reporting mitigating circumstances and absences to academic departments; administering the marking of examination scripts; collating examination results; issuing pass lists and individual notifications of examination results; monitoring submission of assessed coursework and reporting problems to academic departments; administering the submission and examination of postgraduate theses.	Records documenting the selection and appointment of examination invigilators.	Current academic year + 1 year	Head of Registry	JISC Guidance
Assessment Administration			Records documenting the design and delivery of training for examination invigilators.	Current academic year + 1 year	Head of Registry	JISC Guidance
Assessment Administration			Records documenting the control of examination papers and examination scripts.	Current academic year + 1 year	Head of Registry	JISC Guidance
Assessment Administration			Records documenting the timetabling of examinations.	Current academic year + 1 year	Head of Registry	JISC Guidance
Assessment Administration			Records documenting the organisation of examination facilities, including special arrangements for students with special needs.	Current academic year + 1 year	Head of Registry	JISC Guidance
Assessment Administration			Records documenting individual students' attendance at examinations, and the handling of reports of mitigating circumstances.	Current academic year + 1 year	Head of Registry	JISC Guidance
Assessment Administration			Records documenting the collation of examination results and compilation of pass lists and individual notifications of results.	Current academic year + 1 year	Head of Registry	JISC Guidance
Assessment Administration			Records documenting individual students' submission of assessed work and handling of reports of mitigating circumstances.	Current academic year + 1 year	Head of Registry	JISC Guidance
Assessment Administration			Records documenting the issue of awards lists and individual notifications of awards.	Current academic year + 1 year	Head of Registry	JISC Guidance
Assessment Administration			Pass Lists/Awards lists	Issue of list + 10 years	Head of Registry	JISC Guidance
Examination Board Administration	The activities involved in administering the work of Boards of Examiners (or equivalent).	Activities include: arranging Board meetings; preparing papers for Board meetings; recording decisions of Board meetings; taking/co-ordinating action to be carried out as a result of Board decisions.	Records documenting the arrangements for meetings of a Board.	Current year + 1 year	Head of Registry	JISC Guidance
Examination Board Administration			Records documenting the conduct of the business of a committee: agenda, minutes and papers.	Current academic year + 6 years	Directorate	Limitation Act 1980
Examination Board Administration			Records documenting the conduct of the business of a committee: correspondence and other records relating to the preparation of committee business or to actions to be taken (or not taken) as a result of committee decisions.	Current academic year + 6 years	Directorate	Limitation Act 1980
TUITION FEES ADMINISTRATION						
The function of administering the setting and collection of tuition fees.						
Tuition Fees Administration Policy Development	The activities involved in developing and establishing the institution's policies on the setting and collection of tuition fees.	Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.	Key Records: documenting the development and establishment of the institution's tuition fees policies.	Superseded + 10 years	Head of Planning & The Directorate	JISC Guidance
Tuition Fees Administration Policy Development			Working Papers: documenting the development and establishment of the institution's tuition fees policies and procedures.	Issue of policy/procedure + 1 year	Head of Planning & The Directorate	JISC Guidance

FUNCTION	SCOPE	SCOPE INCLUDES ...	TYPE OF RECORD	RETENTION PERIOD	OWNER OF RECORD	AUTHORITY
Tuition Fees Administration Procedure Development	The activities involved in developing the institution's procedures for the setting and collection of tuition fees.	Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.	Master copies of procedures relating to tuition fees administration.	Superseded + 10 years	Head of Planning & The Directorate	JISC Guidance
Tuition Fee Remission	The activities involved in processing applications for remission of tuition fees.		Records documenting the handling of applications for remission of tuition fees: successful applications.	Determination of application + 6 years	Head of Admissions	Limitation Act 1980
Tuition Fee Remission	The activities involved in processing applications for remission of tuition fees.		Records documenting the handling of applications for remission of tuition fees: unsuccessful applications.	Determination of application + 1 year	Head of Admissions	JISC Guidance
Tuition Fee Setting	The activities involved in setting tuition fees.		Records documenting the process of determining tuition fees.	Current + 5 years	Head of Planning & The Directorate	JISC Guidance
Tuition Fee Collection	The activities involved in collecting tuition fees.		Records documenting the collection of tuition fees.	Current academic year + 1 year	Head of Finance	JISC Guidance
STUDENT FINANCIAL SUPPORT ADMINISTRATION						
	The function of administering the allocation of financial support funds available to the institution's students.					
Financial Aid Funds Administration	The activities involved in administering the allocation of financial aid funds available to the institution's students.	Activities include: providing advice to students about financial aid funds and assisting them to apply for funds; handling applications for financial aid funds.	Records documenting the provision of financial aid funds to individual students.	Current financial/academic year + 6 years	Head of One Stop Shop	Limitation Act 1980
Crisis/Hardship Funds Administration	The activities involved in administering the allocation of crisis/hardship funds available to the institution's students.	Activities include: providing advice to students about crisis/hardship funds and assisting them to apply for funds; handling applications for financial aid funds.	Records documenting the provision of crisis/hardship payments to individual students.	Current financial/academic year + 6 years	Head of One Stop Shop	Limitation Act 1980
Bursaries Administration	The activities involved in administering the award of bursaries available to the institution's students.		Records documenting the award of bursaries to individual students.	Current financial/academic year + 6 years	Head of One Stop Shop	Limitation Act 1980
Scholarships and Fellowships Administration	The activities involved in administering the award of scholarships and fellowships available to the institution's students.		Records documenting the award of scholarships and fellowships to individual students.	Current financial/academic year + 6 years	Head of One Stop Shop	Limitation Act 1980

FUNCTION	SCOPE	SCOPE INCLUDES ...	TYPE OF RECORD	RETENTION PERIOD	OWNER OF RECORD	AUTHORITY
CORPORATE MANAGEMENT						
CORPORATE MANAGEMENT	The activities involved in developing and establishing the institution's policies on corporate planning, performance management and governance strategy.	Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.	Key Records: documenting the development and establishment of the University's policies and strategy for: - Corporate and strategic planning - Performance management - Governance management - Environmental management	Superseded + 10 years	University Secretary	JISC Guidance
CORPORATE MANAGEMENT			Key Records: documenting the development and establishment of the University's policies, strategy and procedures for: - Annual Operating Plans - Risk Management - Quality Management - Audit - Legal Affairs - Organisational development - Equality & Diversity	Superseded + 5 years	University Secretary	JISC Guidance
CORPORATE MANAGEMENT			Working Papers: documenting the development and establishment of the University's policies, strategy and procedures for: - Corporate Planning - Performance Management - Strategic plan - Annual Operating Plans - Governance; Risk Management - Quality management - Audit - Legal Affairs Management - Organisational development - Equality & Diversity - Health & Safety - Environmental Management	Issue of policy /strategy/procedure + 1 year	University Secretary	JISC Guidance
CORPORATE MANAGEMENT		Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.	Master copies of procedures relating to the management of: - Risk - Quality - Audit - Organisational Development - Equality & Diversity	Superseded + 3 years	University Secretary	JISC Guidance
CORPORATE PLANNING & PERFORMANCE MANAGEMENT						
Corporate Planning & Performance Management Procedure Development	The activities involved in developing the institution's procedures for corporate planning and performance management.		Master copies of procedures relating to corporate planning and performance management.	Superseded + 5 years		JISC Guidance
Strategic Performance Management	The activities involved in monitoring the institution's performance against its strategic plans.	Activities include: developing key performance indicators (KPIs); benchmarking against other comparable institutions; monitoring performance against strategic plans and KPIs.	Records containing data on, and analyses of, the institution's performance against its strategic plan.	Current academic year + 5 years	Head of Finance/University Secretary	JISC Guidance
Strategic Performance Management			Records containing reports on the institution's performance against its strategic plan.	Current academic year + 10 years	Head of Finance/University Secretary	JISC Guidance
Strategic 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.	Current academic year + 5 years	Head of Finance/University Secretary	JISC Guidance
Operational Performance Management	The activities involved in monitoring the institution's performance against its annual operating plans.	Activities include: developing key performance indicators (KPIs); benchmarking against other comparable institutions; monitoring performance against strategic plans and KPIs.	Records documenting the development of the institution's key performance indicators.	Superseded	Head of Finance/University Secretary	JISC Guidance
Operational Performance Management			Records documenting benchmarking exercises with other comparable institutions.	Current + 1 year	Head of Finance/University Secretary	JISC Guidance
Operational Performance Management			Records documenting performance monitoring and analysis.	Current year + 1 year	Head of Finance/University Secretary	JISC Guidance

FUNCTION	SCOPE	SCOPE INCLUDES ...	TYPE OF RECORD	RETENTION PERIOD	OWNER OF RECORD	AUTHORITY
GOVERNANCE	The function of developing and establishing the institution's corporate governance structure and rules, and of conducting its business in accordance with its governance structure and rules.					
Legal Framework Development	The activities involved in establishing and, where appropriate, changing the legal status of the institution.		Records documenting the establishment and development of the university's legal framework.	Life of institution	University Secretary	JISC Guidance
Governance Framework Development	The activities involved in establishing and, where appropriate, changing the institution's governance structure and rules.		Records documenting the establishment and development of the university's governance structure and rules.	Life of institution	University Secretary	JISC Guidance
Statutory Committee Administration	The activities involved in administering the work of the institution's statutory committees.	Activities include: establishing terms of reference for committees; developing and establishing rules and procedures for the conduct of committee business; appointing, electing or otherwise designating members of committees; providing induction and training for members of committees; arranging committee meetings; preparing agenda and papers for committee meetings; recording minutes of committee meetings; taking/co-ordinating action to be carried out as a result of committee decisions; undertaking periodic formal reviews of the effectiveness and performance of committees (NOTE 1); maintaining a register of interests of members of the governing body (NOTE 2).	Records documenting the development and establishment of the terms of reference, and the rules and procedures, for a statutory committee.	Life of institution	University Secretary	JISC Guidance
Statutory Committee Administration & Non-Statutory Committee Administration	The activities involved in administering the work of the institution's statutory committees.	Activities include: establishing terms of reference for committees; developing and establishing rules and procedures for the conduct of committee business; appointing, electing or otherwise designating members of committees; providing induction and training for members of committees; arranging committee meetings; preparing agenda and papers for committee meetings; recording minutes of committee meetings; taking/co-ordinating action to be carried out as a result of committee decisions; undertaking periodic formal reviews of the effectiveness and performance of committees (NOTE 1); maintaining a register of interests of members of the governing body (NOTE 2).	Records documenting the appointment/election/designation and training of either members of a statutory committee or non-statutory committee.	Termination of appointment + 6 years	University Secretary	Limitation Act 1980 s5
Statutory Committee Administration	The activities involved in administering the work of the institution's statutory committees.	Activities include: establishing terms of reference for committees; developing and establishing rules and procedures for the conduct of committee business; appointing, electing or otherwise designating members of committees; providing induction and training for members of committees; arranging committee meetings; preparing agenda and papers for committee meetings; recording minutes of committee meetings; taking/co-ordinating action to be carried out as a result of committee decisions; undertaking periodic formal reviews of the effectiveness and performance of committees (NOTE 1); maintaining a register of interests of members of the governing body (NOTE 2).	Records documenting the development of induction and training programmes for members of a statutory committee.	Superseded + 5 years	University Secretary	JISC Guidance
Statutory Committee Administration & Non-Statutory Committee Administration	The activities involved in administering the work of the institution's statutory committees.	Activities include: establishing terms of reference for committees; developing and establishing rules and procedures for the conduct of committee business; appointing, electing or otherwise designating members of committees; providing induction and training for members of committees; arranging committee meetings; preparing agenda and papers for committee meetings; recording minutes of committee meetings; taking/co-ordinating action to be carried out as a result of committee decisions; undertaking periodic formal reviews of the effectiveness and performance of committees (NOTE 1); maintaining a register of interests of members of the governing body (NOTE 2).	Records documenting the arrangements for meetings of either a statutory committee or committee.	Current year + 1 year	University Secretary	JISC Guidance
Statutory Committee Administration	The activities involved in administering the work of the institution's statutory committees.	Activities include: establishing terms of reference for committees; developing and establishing rules and procedures for the conduct of committee business; appointing, electing or otherwise designating members of committees; providing induction and training for members of committees; arranging committee meetings; preparing agenda and papers for committee meetings; recording minutes of committee meetings; taking/co-ordinating action to be carried out as a result of committee decisions; undertaking periodic formal reviews of the effectiveness and performance of committees (NOTE 1); maintaining a register of interests of members of the governing body (NOTE 2).	Statutory Committee agenda, minutes and supporting papers.	Life of institution	University Secretary	JISC Guidance
Statutory Committee Administration & Non-Statutory Committee Administration	The activities involved in administering the work of the institution's statutory committees.	Activities include: establishing terms of reference for committees; developing and establishing rules and procedures for the conduct of committee business; appointing, electing or otherwise designating members of committees; providing induction and training for members of committees; arranging committee meetings; preparing agenda and papers for committee meetings; recording minutes of committee meetings; taking/co-ordinating action to be carried out as a result of committee decisions; undertaking periodic formal reviews of the effectiveness and performance of committees (NOTE 1); maintaining a register of interests of members of the governing body (NOTE 2).	Records documenting the conduct of business of either a statutory committee or non-statutory committee: correspondence and other records relating to the preparation of committee business or actions to be taken (or not taken) as a result of committee decisions.	Current year + 5 years	University Secretary	JISC Guidance

FUNCTION	SCOPE	SCOPE INCLUDES ...	TYPE OF RECORD	RETENTION PERIOD	OWNER OF RECORD	AUTHORITY
Statutory Committee Administration	The activities involved in administering the work of the institution's statutory committees.	Activities include: establishing terms of reference for committees; developing and establishing rules and procedures for the conduct of committee business; appointing, electing or otherwise designating members of committees; providing induction and training for members of committees; arranging committee meetings; preparing agenda and papers for committee meetings; recording minutes of committee meetings; taking/co-ordinating action to be carried out as a result of committee decisions; undertaking periodic formal reviews of the effectiveness and performance of committees (NOTE 1); maintaining a register of interests of members of the governing body (NOTE 2).	Records documenting the conduct of reviews of the effectiveness and performance of a statutory committee.	Completion of two subsequent reviews	University Secretary	JISC Guidance
Statutory Committee Administration	The activities involved in administering the work of the institution's statutory committees.	Activities include: establishing terms of reference for committees; developing and establishing rules and procedures for the conduct of committee business; appointing, electing or otherwise designating members of committees; providing induction and training for members of committees; arranging committee meetings; preparing agenda and papers for committee meetings; recording minutes of committee meetings; taking/co-ordinating action to be carried out as a result of committee decisions; undertaking periodic formal reviews of the effectiveness and performance of committees (NOTE 1); maintaining a register of interests of members of the governing body (NOTE 2).	Register of interests of members of the institution's governing body.	Termination of appointment + 6 years	University Secretary	Limitation Act 1980 s5
Non-Statutory Committee Administration	The activities involved in administering the work of the institution's non-statutory committees.	Activities include: establishing terms of reference for committees; developing and establishing rules and procedures for the conduct of committee business; appointing, electing or otherwise designating members of committees; providing induction and training for members of committees; arranging committee meetings; preparing agenda and papers for committee meetings; recording minutes of committee meetings; taking/co-ordinating action to be carried out as a result of committee decisions; dissolving committees which are no longer required.	Records documenting the development and establishment of the terms of reference, and the rules and procedures, for a committee.	Life of committee + 6 years	University Secretary	Limitation Act 1980 s5
Non-Statutory Committee Administration	The activities involved in administering the work of the institution's non-statutory committees.	Activities include: establishing terms of reference for committees; developing and establishing rules and procedures for the conduct of committee business; appointing, electing or otherwise designating members of committees; providing induction and training for members of committees; arranging committee meetings; preparing agenda and papers for committee meetings; recording minutes of committee meetings; taking/co-ordinating action to be carried out as a result of committee decisions; dissolving committees which are no longer required.	Records documenting the development of induction and training programmes for members of a committee.	Superseded + 3 years	University Secretary	JISC Guidance
Non-Statutory Committee Administration	The activities involved in administering the work of the institution's non-statutory committees.	Activities include: establishing terms of reference for committees; developing and establishing rules and procedures for the conduct of committee business; appointing, electing or otherwise designating members of committees; providing induction and training for members of committees; arranging committee meetings; preparing agenda and papers for committee meetings; recording minutes of committee meetings; taking/co-ordinating action to be carried out as a result of committee decisions; dissolving committees which are no longer required.	Records documenting the conduct of the business of a committee: agenda, minutes and supporting papers.	Life of committee + 5 years	University Secretary	JISC Guidance
Senior Officers' Appointments Administration	The activities involved in appointing, electing or otherwise designating the institution's senior officers.	Activities include: setting terms and conditions for officers.	Records documenting the appointment/ election/designation of the institution's senior officers.	Termination of appointment + 6 years	University Secretary	Limitation Act 1980 s5
Public Interest Disclosure (Whistle Blowing) Investigation	The activities involved in handling allegations of malpractice or misconduct made by staff under the Public Interest Disclosure Act 1998.	Activities include: recording allegations; investigating and reporting on allegations, and determining any consequential action to be taken.	Records documenting the investigation, determination and resolution of an allegation made by a member of staff under the Public Interest Disclosure Act 1998.	Closure of case + 6 years	University Secretary	Limitation Act 1980 s2 and s5
Official External Representation	The activities involved in representing the institution officially on external bodies.	Activities include: appointing or otherwise designating staff to represent the institution.	Records documenting the appointment/designation of staff to officially represent the institution.	Termination of representation	University Secretary	JISC Guidance
RISK MANAGEMENT						
	The activities involved in managing risks to the viability or success of the institution.					
Risk Identification & Assessment	The activities involved in identifying and evaluating risks to the institution.		Records documenting identified risks to the institution and assessments of those risks.	Superseded + 1 year	Head of Finance/University Secretary	JISC Guidance
Business Continuity Planning	The activities involved in anticipating incidents which would disrupt the institution's operations, and in developing response and recovery plans.		Records documenting the formulation, testing and maintenance of disaster response and recovery plans.	Superseded + 1 year	Head of Finance/University Secretary	JISC Guidance
QUALITY MANAGEMENT						
	The function of managing overall quality in the institution.					
Quality Audit	The activities involved in undertaking quality audits.	Activities include: planning audits; conducting audit investigations; writing and delivering audit reports; reviewing and responding to audit reports.	Records documenting the conduct and results of quality audits, and action taken to address issues raised.	Completion of audit + 3 years	Academic Registrar	JISC Guidance

FUNCTION	SCOPE	SCOPE INCLUDES ...	TYPE OF RECORD	RETENTION PERIOD	OWNER OF RECORD	AUTHORITY
Quality Management Scheme Accreditation Management	The activities involved in obtaining and maintaining accreditation under established external quality management schemes (e.g. EQUIS).	Activities include: applying for accreditation; liaising with accreditation bodies; facilitating inspections/audits by accrediting bodies.	Records documenting the attainment and maintenance of the institution's accreditation under established independent quality management schemes.	Termination of accreditation + 1 year	Academic Registrar	JISC Guidance
AUDIT						
The function of conducting audits of the institution's affairs and operations.						
Audit Management	The activities involved in conducting audits.	Activities include: conducting internal audits; facilitating the conduct of external audits; reviewing and responding to audit reports.	Records documenting the conduct and results of audits, and action taken to address issues raised.	Completion of audit + 5 years	University Secretary	JISC Guidance
LEGAL AFFAIRS MANAGEMENT						
The function of managing the institution's legal affairs.						
Legal Affairs Management Procedure Development	The activities involved in developing the institution's procedures for the management of its legal affairs.	Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.	Master copies of procedures relating to the management of legal affairs.	Superseded + 5 years	University Secretary	JISC Guidance
Contracts & Agreements Management	The activities involved in managing the legal aspects of negotiating, establishing, maintaining and reviewing contracts and agreements.		Records documenting the negotiation, establishment and review of contracts and agreements between the institution and third parties : agreements and contracts under seal (by deed).	Termination of contract + 12 years	University Secretary	Limitation Act 1980 s8
Contracts & Agreements Management			Records documenting the negotiation, establishment and review of contracts and agreements between the institution and third parties : other contracts and agreements.	Termination of contract + 6 years	University Secretary	Limitation Act 1980 s5
Legal Claims Management	The activities involved in handling claims by or against the institution which do not proceed to litigation or settlement by an agreement.		Records documenting the provision of legal support and representation for the institution in dealing with claims by or against the institution which do not proceed to litigation or settlement by an agreement.	Settlement of claim + 6 years OR Withdrawal of claim + 6 years	University Secretary	Limitation Act 1980 s2 and s5
Litigation Management	The activities involved in managing legal proceedings between the institution and other parties.	Activities include: briefing counsel; providing documents required by a court; consulting with other agencies.	Records documenting litigation between the institution and third parties where legal precedents are set.	Life of institution	University Secretary	JISC Guidance
Litigation Management			Records documenting litigation between the institution and third parties which does not set legal precedents.	Settlement of case + 6 years	University Secretary	Limitation Act 1980 s2 and s5
Legal Advice	The activities associated with providing legal opinions and advice to the institution.		Records documenting legal advice requested by, and provided to, the institution concerning e.g.: - interpretation of legislation affecting the institution's legal framework, governance, responsibilities or operations - proposals for new legislation affecting the institution's legal framework, governance, responsibilities or operations - the institution's relationships with government bodies and HE regulators - industrial relations issues - health, safety and environmental issues	Life of institution	University Secretary	JISC Guidance
Legal Advice			Records documenting legal advice on other matters requested by, and provided to, the institution.	Superseded + 5 years	University Secretary	JISC Guidance
ORGANISATIONAL DEVELOPMENT						
The function of developing the institution's organisational structure and culture.						
Organisational Restructuring	The activities involved in changing the institution's organisational structure.	Activities include: creating new business units; merging/demerging or otherwise restructuring existing business units; closing business units.	Records documenting the management of individual organisational restructuring processes.	Completion of process + 5 years	Director of Human Resources	JISC Guidance
EQUALITY & DIVERSITY MANAGEMENT						
The function of managing the institution's compliance with legislation on equal opportunities.						
Equality & Diversity Monitoring	The activities involved in monitoring equal opportunities within the institution.	Activities include: collecting data on student recruitment, admissions, progression and attainment, and on employee recruitment and promotion; analysing data in relation to equality between men and women, disabled persons, persons of different ages and of different racial groups; preparing and submitting formal reports of equal opportunities monitoring to external organisations.	Records containing summary statistical information resulting from equality monitoring.	Current year + 5 years	University Secretary	
Equality & Diversity Training	The activities involved in providing training for institutional staff on equality and diversity issues.	Activities include: identifying training requirements; analysing training needs; identifying and evaluating training options. For external training, activities include: identifying and evaluating training programmes; organising attendance at training events; evaluating training programmes/events. For internal training, activities include: developing training programmes; organising and arranging training events; delivering training; evaluating training programmes/events.	Records documenting the development and delivery of training on equality and diversity issues and procedures.	Current year + 5 years	Head of Human Resources	JISC Guidance

FUNCTION	SCOPE	SCOPE INCLUDES ...	TYPE OF RECORD	RETENTION PERIOD	OWNER OF RECORD	AUTHORITY
Discrimination Complaints Handling	The activities involved in handling formal complaints about (alleged) discrimination by or within the institution and against staff or students on the grounds of gender, disability, race, religion, sexuality, or age.	Activities include: reviewing and investigating complaints; informing complainants about the outcomes of reviews and investigations; responding to any further action taken by complainants.	Records documenting the handling of formal complaints about discrimination by or within the institution.	Last action on case + 6 years	University Secretary	Limitation Act 1980 s2
Disability Equality Compliance	The activities involved in complying with legislation on disability equality.	Activities include: preparing and publishing the institution's Disability Equality Scheme (NOTE 1), including publishing a revised Scheme every three years; preparing and publishing the institution's annual reports on the implementation of its Disability Equality Scheme (NOTE 2); assessing the impact of the institution's policies and practices on equality for disabled people.	Records documenting the preparation/revision of the university's Disability Equality Scheme; Equality policy and Gender Equality Scheme.	Superseded + 5 years	University Secretary	JISC Guidance
Disability Equality Compliance			Records documenting the preparation of annual reports on the implementation of the University's Disability Equality Scheme or Gender Equality Scheme.	Current year + 5 years	University Secretary	JISC Guidance
Disability Equality Compliance			Records documenting assessments of the impact of the institution's policies and practices on equality for disabled persons; equality between different racial groups; equality for men and women.	Superseded + 5 years	University Secretary	JISC Guidance
Race Equality Compliance	The activities involved in complying with the requirements of legislation on equality for different racial groups.	Activities include: preparing and publishing the institution's race equality policy (NOTE 1); assessing the impact of the institution's policies on students and staff from different racial groups, and publishing the results (NOTE 2); monitoring, by racial group, student admission and progress, and employee recruitment and career progress, and publishing the results (NOTE 3).	Records documenting the monitoring, by racial group, of student admission and progress.	Current year + 5 years	University Secretary	JISC Guidance
Race Equality Compliance			Records documenting the monitoring, by racial group, of employee recruitment and career progress.	Current year + 5 years	University Secretary	JISC Guidance
HEALTH & SAFETY MANAGEMENT						
The function of managing the impact of the institution's operations on the health and safety of its staff, students and others while on its premises and in other places where they may be affected by its operations, and of ensuring compliance with legislation on health and safety matters.						
Health & Safety Strategy Development	The activities involved in developing and establishing the institution's health and safety strategy.	Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.	Key Records: documenting the development and establishment of the institution's health and safety strategy.	Superseded + 10 years	The Directorate - University Secretary	JISC Guidance
Health & Safety Strategy Development			Workign Papers: documenting the development and establishment of the institution's health and safety strategy, policies and procedures.	Issue of strategy/policy/procedure + 1 year	The Directorate - University Secretary	JISC Guidance
Health & Safety Management Policy Development	The activities involved in developing and establishing the institution's policies on health and safety matters.	Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.	Key Records: documenting the development and establishment of the institution's policies on health and safety.	Superseded + 50 years	The Directorate - University Secretary	JISC Guidance
Health & Safety Management Procedure Development	The activities involved in developing the institution's procedures for the management of health and safety.	Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.	Master copies of procedures relating to the management of health and safety.	Superseded + 50 years	The Directorate - University Secretary	JISC Guidance
Health & Safety Inspection	The activities involved in conducting health and safety inspections of the institution's premises and operations.		Records documenting the conduct and results of health and safety inspections of the institution's land, buildings, facilities or operations, and action taken to address issues raised.	Current year + 5 years OR Superseded + 1 year	Head of Health & Safety	JISC Guidance
Health & Safety Audit	The activities involved in conducting health and safety audits of the institution's activities and operations.	Activities include: planning audits; conducting audit investigations; preparing and delivering audit reports; reviewing and responding to audit reports.	Records documenting the conduct and results of health and safety audits.	Completion of audit + 5 years	Head of Health & Safety	JISC Guidance
Health & Safety Consultation	The activities involved in consulting the institution's workforce, either directly or through representatives, on the management of health and safety matters within the institution.	Activities include fulfilling the institution's duties under the Safety Representatives and Safety Committees Regulations 1997 (SI 1997/7500) and the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513).	Records documenting notifications of appointments of safety representatives by trade unions under Regulation 3 of the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500).	Termination of appointment + 1 year	Head of Health & Safety	JISC Guidance

FUNCTION	SCOPE	SCOPE INCLUDES ...	TYPE OF RECORD	RETENTION PERIOD	OWNER OF RECORD	AUTHORITY
Health & Safety Consultation			Records documenting the provision of time off, and other facilities and assistance, for safety representatives appointed under the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500).	Current year + 5 years	Head of Health & Safety	JISC Guidance
Health & Safety Consultation			Records documenting consultations and other communications with safety representatives appointed under the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500).	Current year + 50 years	Head of Health & Safety	JISC Guidance
Health & Safety Consultation			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 records documenting the objectives, role, functions, composition and administration of the committee.	Dissolution of committee + 50 years	Head of Health & Safety	JISC Guidance
Health & Safety Consultation			Records documenting the election of members of a safety committee formed under the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500).	Completion of election + 1 year	Head of Health & Safety	JISC Guidance
Health & Safety Consultation			Records documenting the proceedings and decisions of a safety committee formed under the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500).	Current year + 50 years	Head of Health & Safety	JISC Guidance
Health & Safety Information, Instruction & Training Provision	The activities involved in providing information, instruction and training on health and safety matters to staff, students and other who use the institution's facilities.		Records documenting the provision of health and safety information, instruction and training for employees, students and others, except where specified elsewhere in this Records Retention Schedule.	Current year + 5 years or Superseded + 5 years	Head of Health & Safety	JISC Guidance
Health & Safety Hazard Identification & Risk Assessment	The activities involved in identifying health and safety hazards in the institution's premises or caused by its operations, conducting risk assessments to establish the likelihood and consequences of those risks and implementing appropriate measures to eliminate the risks or to mitigate their consequences.		Records documenting the conduct, review and revision of risk assessments. Regulation 3 of the Management of Health and Safety at Work Regulations 1999 (SI 1999/3242).	Superseded + 5 years	Head of Health & Safety	JISC Guidance
Health & Safety Hazard Exposure Control - Display Screen Equipment	The activities involved in controlling the exposure of staff to risks associated with use of display screen equipment.	Activities include fulfilling the institution's duties under the Health & Safety (Display Screen) Equipment Regulations 1992 (SI 1992/2792) by: assessing the risks to health and safety created by using workstations (Regulation 2); providing training (Regulation 6) and information (Regulation 7) for employees using workstations.	Records documenting the conduct, review and revision of assessments of risks to health and safety created by using workstations, to fulfil the institution's duties under Regulation 2 of the Health & Safety (Display Screen) Equipment Regulations 1992 (SI 1992/2792).	Superseded + 10 years	Head of Health & Safety	JISC Guidance
Health & Safety Hazard Exposure Control - Display Screen Equipment			Records documenting the provision of training and information for employees using workstations, to fulfil the institution's duties under Regulations 6 and 7 of the Health & Safety (Display Screen) Equipment Regulations 1992 (SI 1992/2792).	Superseded + 5 years	Head of Health & Safety	JISC Guidance
Health & Safety Hazard Exposure Control - Hazardous Substances	The activities involved in controlling the exposure of staff, students and others to hazardous substances in the institution's premises or in other places affected by its operations.	Activities include fulfilling the institution's duties under the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677) by: keeping a list of employees exposed to Group 3 or Group 4 biological agents, and records of exposures, accidents and incidents involving these agents (Schedule 3, para. 4); assessing the risks to health created by exposure to substances hazardous to health (Regulation 6); providing (Regulation 7) and maintaining (Regulation 9) equipment to control exposure to substances hazardous to health; monitoring employees' exposure to substances hazardous to health (Regulation 10); conducting health surveillance of employees exposed to substances hazardous to health (Regulation 11); providing information, instruction and training for employees who are exposed to substances hazardous to health (Regulation 12); developing plans and information to deal with accidents, incidents and emergencies related to the presence of substances hazardous to health, and responding to emergencies which occur (Regulation 13).	List of employees exposed to Group 3 or Group 4 biological agents, and records of exposures, accidents and incidents involving these agents.	Current + 40 years	Head of Health & Safety	Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677), Schedule 3, para. 4.
Health & Safety Hazard Exposure Control - Hazardous Substances			Records documenting the conduct, review and revision of assessments of the risks to health created by work with: - substances hazardous to health - lead - asbestos Regulation 6 of the Control of Substances Hazardous to Health Regulations 2002 Regulation 5 of the Control of Lead at Work Regulations 2002 Regulation 6 of the Control of Asbestos Regulations 2006	Superseded + 10 years	Head of Health & Safety	JISC Guidance
Health & Safety Hazard Exposure Control - Hazardous Substances			Records documenting the maintenance of equipment provided to control exposure to: - Substances hazardous to health - Lead - Asbestos	Date of examination/test/repair + 5 years	Head of Health & Safety	Control of Substances Hazardous to Health Regulations 2002 s9 (4) (SI 2002/2677) Control of Lead at Work Regulations 2002 s8 (4) (SI 2002/2676) Control of Asbestos Regulations 2006 s13 (3) (SI 2006/2739)

FUNCTION	SCOPE	SCOPE INCLUDES ...	TYPE OF RECORD	RETENTION PERIOD	OWNER OF RECORD	AUTHORITY
Health & Safety Hazard Exposure Control - Hazardous Substances			Records documenting the conduct and results of monitoring the personal exposures or health surveillance of individual employees to substances hazardous to health.	Last entry + 40 years	Head of Health & Safety	Regulation 10 and 11 of the Control of Substances Hazardous to Health Regulations 2002 s10(5)(a); 11 (3) (SI 2002/2677)
Health & Safety Hazard Exposure Control - Hazardous Substances			Records documenting the conduct and results of monitoring employees' general exposure to: - Substances hazardous to health - Lead (in air)	Last entry + 5 years	Head of Health & Safety	Control of Substances Hazardous to Health Regulations 2002 s10(5)(b) (SI 2002/2677) Control of Lead at Work Regulations 2002 s9 (4)(SI 2002/2676)
Health & Safety Hazard Exposure Control - Hazardous Substances			Records documenting health surveillance of individual employees who are exposed to substances hazardous to health.	Date of last entry in record + 40 years	Head of Health & Safety	Control of Substances Hazardous to Health Regulations 2002 s11 (3) (SI 2002/2677).
Health & Safety Hazard Exposure Control - Hazardous Substances			Records documenting the provision of information, instruction and training for employees who are exposed to: - substances hazardous to health - Lead - Asbestos Regulation 11 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677) Regulation 11 of the Control of Lead at Work Regulations 2002 (SI 2002/2676) Regulation 10 of the Control of Asbestos Regulations 2006 (SI 2006/2739)	Superseded + 10 years	Head of Health & Safety	JISC Guidance
Health & Safety Hazard Exposure Control - Hazardous Substances			Records documenting the development of plans and information to deal with accidents, incidents and emergencies related to the presence of: - Substances hazardous to health - Lead - Asbestos Regulation 13 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677) Regulation 12 of the Control of Lead at Work Regulations 2002 (SI 2002/2676) Regulation 15 of the Control of Asbestos Regulations 2006 (SI 2006/2739)	Superseded + 10 years	Head of Health & Safety	JISC Guidance
Health & Safety Hazard Exposure Control - Hazardous Substances			Records documenting the institution's response to accidents, incidents and emergencies involving: - Substances hazardous to health - Lead - Asbestos Regulation 13 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677) Regulation 12 of the Control of Lead at Work Regulations 2002 (SI 2002/2676) Regulation 15 of the Control of Asbestos Regulations 2006 (SI 2006/2739)	Last action on event + 10 years	Head of Health & Safety	JISC Guidance
Health & Safety Hazard Exposure Control - Lead	The activities involved in controlling the exposure of staff, students and others to lead in the institution's premises or in other places affected by its operations.	Activities include fulfilling the institution's duties under the Control of Lead at Work Regulations 2002 by: assessing the risks to health created by work involving lead (Regulation 5); providing (Regulation 6) and maintaining (Regulation 8) equipment to control exposure to lead; monitoring employees' exposure to lead (in air) (Regulation 9); conducting medical surveillance of individual employees who are exposed to lead (Regulation 10); providing information, instruction and training for employees who are exposed to lead (Regulation 11); developing plans and information to deal with accidents, incidents and emergencies related to the presence of lead, and responding to emergencies which occur (Regulation 12).	Records documenting medical surveillance of individual employees who are exposed to lead and asbestos.	Date of last entry on record + 40 years	Head of Health & Safety	Control of Lead at Work Regulations 2002 s 10(5) (SI 2002/2676) Control of Asbestos Regulations 2006 s22 (1)(b) (SI 2006/2739)
Health & Safety Hazard Exposure Control - Asbestos	The activities involved in controlling the exposure of staff, students and others to asbestos in the institution's premises or in other places affected by its operations.	Activities include fulfilling the institution's duties under the Control of Asbestos Regulations 2006 (SI 2006/2739) by: assessing the presence and condition of asbestos (Regulation 5); assessing the risks to health created by exposure to asbestos (Regulation 6); producing written plans of work for undertaking work with asbestos (Regulation 7); notifying enforcing authorities of proposed work with asbestos (Regulation 9); providing information, instruction and training for employees who are exposed to asbestos (Regulation 10); maintenance of equipment provided to control exposure to asbestos (Regulation 13); developing plans and information to deal with accidents, incidents and emergencies related to the presence of asbestos, and responding to emergencies which occur (Regulation 15); monitoring employees' general and individual exposure to asbestos (Regulation 19); conducting medical surveillance of employees exposed to asbestos (Regulation 22).	Records documenting assessments of the presence and condition of asbestos, as required by Regulation 5 of the Control of Asbestos Regulations 2006 (SI 2006/2739).	Completion of work to which the assessment relates + 10 years	Head of Health & Safety	JISC Guidance

FUNCTION	SCOPE	SCOPE INCLUDES ...	TYPE OF RECORD	RETENTION PERIOD	OWNER OF RECORD	AUTHORITY
Health & Safety Hazard Exposure Control - Asbestos			Records documenting the preparation of written plans of work for undertaking work with asbestos. .	Completion of work to which plan relates.	Head of Health & Safety	Control of Asbestos Regulations 2006 Regulation s7 (2)(SI 2006/2739)
Health & Safety Hazard Exposure Control - Asbestos			Records documenting notifications to enforcing authorities of proposed work with asbestos, to fulfil the institution's duties under Regulation 9 of the Control of Asbestos Regulations 2006 (SI 2006/2739).	Duration of work + 10 years	Head of Health & Safety	JISC Guidance
Health & Safety Hazard Exposure Control - Asbestos			Records documenting the conduct and results of monitoring the personal exposures of individual employees (who are required to be under medical surveillance) to asbestos.	Date of monitoring + 40 years	Head of Health & Safety	Control of Asbestos Regulations 2006 s19(4)(a)(SI 2006/2739).
Health & Safety Hazard Exposure Control - Asbestos			Records documenting the conduct and results of monitoring employees' general exposure to asbestos.	Date of monitoring + 5 years	Head of Health & Safety	Control of Asbestos Regulations 2006 s19(4)(b) (SI 2006/2739)
Health & Safety Hazard Exposure Control - Asbestos			Employer's copies of certificates of medical examinations of identifiable employees who are exposed to asbestos.	Date of certificate + 4 years	Head of Health & Safety	Control of Asbestos Regulations 2006 s22(4)(SI 2006/2739)
Health & Safety Incident Recording, Reporting & Investigation	The activities involved in recording and investigating accidents, dangerous occurrences and outbreaks of disease on the institution's premises, and in reporting reportable incidents to the enforcing authorities.	Activities include fulfilling the institution's duties under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 (SI 1995/3163) by recording the details of injuries, dangerous occurrences and outbreaks of notifiable diseases (Regulation 7).	Records of injuries, dangerous occurrences and outbreaks of notifiable diseases on the institution's premises.	Date of recording + 3 years	Head of Health & Safety	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 s7(3) (SI 1995/3163) Social Security (Claims and Payments) Amendment Regulations s2 (SI 1993/2113)
Health & Safety Incident Recording, Reporting & Investigation			Records documenting the investigation of accidents, dangerous occurrences and outbreaks of notifiable diseases on the institution's premises.	Closure of investigation + 40 years	Head of Health & Safety	Limitation Act 1980 s11
Health & Safety Incident Recording, Reporting & Investigation			Records documenting the notification and reporting (to the relevant enforcing authorities) of reportable accidents, dangerous occurrences and outbreaks of notifiable diseases to enforcing authorities.	Date of notification + 3 years	Head of Health & Safety	The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations s7(3) (SI 1995/3163)
Health & Safety Incident Management	The activities involved in planning for the handling of health and safety incidents (including fires) on the institution's premises, and in responding to incidents which occur.	Activities include: conducting safety risk assessments; assessing requirements for the nomination/appointment of specially-trained staff to assist in implementing safety measures; nominating staff to be trained to assist in implementing safety measures, and providing training; assessing requirements for fire detection, fire-fighting and other emergency response equipment; maintaining such equipment for the use of specially-trained staff or fire-fighters; making arrangements with external emergency services for the provision of first-aid, emergency medical assistance, fire-fighting and rescue services; conducting evacuation drills to test procedures for evacuating premises in the event of an emergency.	Records documenting fire safety arrangements and the conduct, review and revision of fire safety risk assessments to fulfil the institution's duties under Article 9 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541) or Section 53 and/or Section 54 of the Fire (Scotland) Act 2005 (asp 5).	Superseded + 5 years	Head of Health & Safety	JISC Guidance
Health & Safety Incident Management			Records documenting the nomination and appointment of fire wardens and first aiders.	Termination of nomination/appointment.	Head of Health & Safety	JISC Guidance
Health & Safety Incident Management			Records documenting the provision of training for fire warden. Article 13 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	Current year + 5 years OR Superseded + 5 years	Head of Health & Safety	JISC Guidance
Health & Safety Incident Management			Records documenting the assessments of requirements for fire-fighting equipments. Article 13 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	Review of assessment + 5 years	Head of Health & Safety	JISC Guidance
Health & Safety Incident Management			Records documenting the maintenance of premises, facilities and equipment to meet general duties under Article 17 and for the use and protection of the fire service under Article 38 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).	Current year + 5 years	Head of Health & Safety	JISC Guidance
Health & Safety Incident Management			Records documenting the: - conduct and review of safety drills - arrangements with external emergency services. Articles 15 & 16 of the Regulatory Reform (Fire safety) Order 2005 (SI 2005/1541)	Current year + 5 years OR Superseded + 5 years	Head of Health & Safety	JISC Guidance
Health & Safety Incident Management			Records documenting fire safety training to employees.	Current year + 5 years OR Superseded + 5 years	Head of Health & Safety	JISC Guidance
Health & Safety Incident Management			Records documenting the provision of approved training for first aiders.	Current year + 3 years OR Superseded + 3 years	Head of Health & Safety	JISC Guidance
Health & Safety Incident Management			Records documenting the provision of information about first aid arrangements to employees.	Superseded + 3 years	Head of Health & Safety	JISC Guidance
Health & Safety Incident Management			Records documenting the conduct, review and revision of assessments of requirements for first aid facilities, equipment and trained personnel.	Superseded + 3 years	Head of Health & Safety	JISC Guidance
ENVIRONMENTAL MANAGEMENT	The function of managing the impact of the institution and its business on the environment, and of ensuring compliance with legislation on environmental matters.					

FUNCTION	SCOPE	SCOPE INCLUDES ...	TYPE OF RECORD	RETENTION PERIOD	OWNER OF RECORD	AUTHORITY
Environmental Strategy Development	The activities involved in developing and establishing the institution's environmental strategy.	Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.	Working Papers: documenting the development and establishment of the institution's environmental management strategy, policies and procedures.	Issue of strategy/policy/procedure + 1 year	The Directorate - University Secretary	JISC Guidance
Environmental Management Procedure Development	The activities involved in developing the institution's procedures for the management of environmental matters.	Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.	Master copies of procedures relating to environmental management.	Superseded + 10 years	The Directorate - University Secretary	JISC Guidance
Environmental Audit	The activities involved in conducting environmental audits of the institution's activities and operations.	Activities include: planning audits; conducting audits; writing and delivering audit reports; reviewing and responding to audit reports.	Records documenting the conduct and results of environmental audits, and action taken to address issues raised.	Completion of audit + 5 years	Head of Health & Safety	JISC Guidance
Environmental Hazard Identification & Risk Assessment	The activities involved in identifying environmental risks affecting the institution's premises or operations, conducting risk assessments to establish the likelihood and consequences of those risks and implementing appropriate measures to eliminate the risks or to mitigate their consequences.		Records documenting identified environmental hazards to the institution, or created by its operations, and the conduct and results of risk assessments.	Elimination of risk + 5 years OR Updating of risk assessment + 5 years	Head of Health & Safety	JISC Guidance
Environmental Management Scheme Accreditation Management	The activities involved in obtaining and maintaining accreditation under established environmental management schemes (e.g. EMAS).	Activities include: applying for accreditation; liaising with accreditation bodies; facilitating inspections/audits by accrediting bodies.	Records documenting the attainment and maintenance of the institution's accreditation under established environmental management schemes.	Termination of accreditation + 1 year	Head of Health & Safety	JISC Guidance
Environmental Awareness Promotion	The activities involved in raising awareness of environmental issues among the institution's staff and students, to improve the institution's overall environmental performance.	Activities include: designing and implementing campaigns to raise staff and student awareness of environmental issues.	Records documenting action taken by the institution to raise awareness of environmental issues among its employees, other staff and students.	Current + 5 years	Head of Health & Safety	JISC Guidance
Environmental Incident Recording, Reporting & Investigation	The activities involved in recording and investigating environmental incidents on the institution's premises or caused by its operations, and in reporting reportable incidents to the enforcing authorities.		Records documenting the recording of environmental incidents on the institution's premises or caused by its operations.	Last action on incident + 40 years	Head of Health & Safety	JISC Guidance
Environmental Incident Recording, Reporting & Investigation			Records documenting the investigation of environmental incidents on the institution's premises or caused by its operations.	Closure of investigation + 40 years	Head of Health & Safety	JISC Guidance
Environmental Incident Recording, Reporting & Investigation			Records documenting the notification and reporting of reportable environmental incidents to enforcing authorities.	Date of notification + 5 years	Head of Health & Safety	JISC Guidance
Energy Management	The activities involved in monitoring and controlling the institution's use and consumption of energy.	Activities include: conducting energy audits.	Records documenting routine monitoring of the institution's use and consumption of energy.	Current year + 5 years	Head of Health & Safety	JISC Guidance
Energy Management			Records documenting the conduct and results of formal reviews of the institution's use and consumption of energy, and action taken to address issues raised.	Completion of review + 5 years	Head of Health & Safety	JISC Guidance
Waste Management	The activities involved in collecting, classifying, storing, and disposing of the institution's waste.	Activities include: conducting waste audits.	Register of 'special waste' removed from the premises for disposal by registered/licensed contractors.	Removal of waste consignment + 3 years	Head of Health & Safety	Special Waste Regulations 1996 s15(4) (SI 1996/972)
Waste Management			Records documenting hazardous waste to be disposed.	Removal of waste + 3 years	Head of Health & Safety	Hazardous Waste (England and Wales) Regulations 2005 Regulation s49(3) (SI 2005/894)

FUNCTION	SCOPE	SCOPE INCLUDES ...	TYPE OF RECORD	RETENTION PERIOD	OWNER OF RECORD	AUTHORITY
ESTATE MANAGEMENT The function of managing the institution's estate.						
Estate Strategy Development	The activities involved in developing and establishing the institution's estate strategy.	Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.	Key Records: documenting the development and establishment of the institution's estate strategy, policies and management.	Superseded + 10 years	Head of Estates & Facilities	JISC Guidance
Estate Strategy Development			Working Papers: documenting the development and establishment of the institution's estate strategy, policies and management.	Issue of strategy/policy/procedures + 1 year	Head of Estates & Facilities	JISC Guidance
Property Acquisition	The activities involved in acquiring ownership or use of land or buildings through purchase, transfer, donation, lease or rental.		Records documenting the acquisition of ownership of properties.	Disposal of property + 12 years	University Secretary	Limitation Act 1980 c. 58 s 8
Property Acquisition			Deeds of title for properties owned by the institution.	Disposal of property	University Secretary	JISC Guidance
Property Acquisition			Records documenting negotiations for properties where the property was not acquired.	Closure of negotiations + 6 years	University Secretary	Limitation Act 1980 c. 58 s 2
Property Acquisition			Records documenting the negotiation of leases and original lease agreements.	Expiry of lease + 15 years	University Secretary	Limitation Act 1980 c. 58 s 14B
Property Development	The activities involved in developing newly-acquired land and buildings and in redeveloping existing land and buildings.	Activities include: undertaking feasibility studies; conducting consultations; developing specifications; preparing building plans; obtaining planning consents; obtaining permits for specific types of work; undertaking development works; inspecting completed works and arranging external inspections to obtain necessary certifications.	Records documenting the development of properties.	Disposal of property	Head of Estates & Facilities	JISC Guidance
Property Development			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	Head of Estates & Facilities	Construction (Design and Management) Regulations 1994 (SI 1994/3140)
Property Development			Records documenting applications for planning consents required to (re)develop property and consents granted.	Disposal of property or expiry of consent.	Head of Estates & Facilities	JISC Guidance
Property Maintenance	The activities involved in maintaining land and buildings.	Activities include: conducting general inspections; establishing and implementing planned maintenance programmes; carrying out reactive maintenance; conducting inspections to determine the presence and condition of hazardous materials (e.g. asbestos); carrying out decontamination works.	Records documenting routine inspections of property.	Date of inspection + 5 years	Head of Estates & Facilities	JISC Guidance
Property Maintenance			Records documenting major maintenance works on property.	Disposal of property	Head of Estates & Facilities	JISC Guidance
Property Maintenance			Records documenting minor maintenance works on property.	Completion of works + 15 years	Head of Estates & Facilities	Limitation Act 1980 c. 58 s 14B
Property Maintenance			Records documenting assessments made to determine the presence (or likely presence) of asbestos in premises, as required by Regulation 4(3) of the Control of Asbestos Regulations 2006 (SI 2006/2739).	Review of assessment + 10 years	Head of Estates & Facilities/ Head of Health & Safety	JISC Guidance
Property Maintenance			Records documenting the monitoring of the condition of asbestos in premises, and of maintaining or removing it.	Removal of asbestos + 10 years OR Subsequent inspection + 10 years	Head of Estates & Facilities/ Head of Health & Safety	JISC Guidance
Property Disposal	The activities involved in disposing of land and buildings which are no longer required through sale, transfer, termination of lease, auction, donation or demolition.	Activities include: obtaining valuations; undertaking surveys.	Records documenting the disposal of properties by sale, transfer or donation.	Disposal of property + 12 years	Head of Estates & Facilities/ University Secretary	Limitation Act 1980 c. 58 s 8
Property Security Management	The activities involved in protecting land and buildings from accidental or intentional damage and in preventing unauthorised access.	Activities include: conducting security inspections; conducting routine surveillance operations (e.g. guarding, patrol and CCTV surveillance) to prevent and detect unauthorised access; responding to, and investigating, security breaches or incidents.	Records documenting the conduct and results of security inspections of properties, and action taken to address issues raised.	Completion of subsequent inspection	Head of Estates & Facilities/ University Secretary	JISC Guidance
Property Security Management			Records documenting property access controls to secure areas (e.g. access registers, key registers, security data logs).	Creation + 2 years	Head of Estates & Facilities	JISC Guidance
Property Security Management			Records of security passes issued to visitors	Expiry of pass + 1 month	Head of Estates & Facilities	JISC Guidance
Property Security Management			Records of security passes issued to employees, other staff and students.	Expiry of pass + 1 year	Head of Estates & Facilities	JISC Guidance
Property Security Management			Records documenting the conduct of routine security surveillance of properties.	Creation + 1 month	Head of Estates & Facilities	JISC Guidance
Property Security Management			Records documenting security breaches or incidents, and action taken.	Last action on incident + 1 year	Head of Estates & Facilities	JISC Guidance
Property Leasing-out	The activities involved in leasing land and buildings to third parties.		Records documenting leasing-out arrangements for properties.	Expiry of lease + 12 years	Head of Estates & Facilities	Limitation Act 1980 c. 58 s 8
Space Management	The activities involved in allocating space and in monitoring and reviewing space utilisation.	Activities include: conducting space audits; monitoring the utilisation of space, ensuring compliance with legislation.	Records documenting the conduct and outcomes of space audits.	Completion of subsequent audit + 5 years	Head of Estates & Facilities	JISC Guidance
FACILITIES MANAGEMENT The function of managing the institution's facilities.						

FUNCTION	SCOPE	SCOPE INCLUDES ...	TYPE OF RECORD	RETENTION PERIOD	OWNER OF RECORD	AUTHORITY
Facilities Strategy Development	The activities involved in developing and establishing the institution's facilities strategy.	Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.	Key Records: documenting the development and establishment of the institution's facilities strategy, policies and management.	Superseded + 10 years	Head of Estates & Facilities	JISC Guidance
Facilities Strategy Development			Working Papers: documenting the development and establishment of the institution's facilities strategy, policies and management.	Issue of strategy/policies/procedures + 1 year	Head of Estates & Facilities	JISC Guidance
Facilities Development	The activities involved in developing new facilities and re-developing existing facilities.	Activities include: specifying requirements; preparing design schemes; obtaining permits for specific types of work; inspecting completed works and arranging external inspections to obtain necessary certifications. For indoor facilities, activities include: decorating; installing fixtures, fittings and furnishings. For outdoor facilities, activities include: groundwork; gardening; installing fixtures, fittings and furniture.	Records documenting the specification of requirements for facilities.	Completion of works + 15 years	Head of Estates & Facilities	Limitation Act 1980 c. 58 s 14
Facilities Development			Records documenting the development of interior design and fit-out schemes.	Completion of works + 15 years	Head of Estates & Facilities	Limitation Act 1980 c. 58 s 14
Facilities Development			Records documenting the carrying out of interior decoration and fitting-out works.	Completion of works + 15 years	Head of Estates & Facilities	Limitation Act 1980 c. 58 s 14
Facilities Maintenance	The activities involved in maintaining facilities.	Activities include: conducting inspections; establishing and implementing planned maintenance programmes; carrying out reactive maintenance.	Records documenting routine inspections of facilities.	Completion of two subsequent inspections	Head of Estates & Facilities	JISC Guidance
Facilities Maintenance			Records documenting the carrying out of major maintenance works within facilities.	Completion of works + 15 years	Head of Estates & Facilities	Limitation Act 1980 c. 58 s 14B
Facilities Maintenance			Records documenting the carrying out of minor maintenance works within facilities.	Current year + 5 years	Head of Estates & Facilities	JISC Guidance
Facilities Security Management	The activities involved in protecting facilities from accidental or intentional damage and in preventing unauthorised access.	Activities include: conducting security inspections; conducting routine surveillance operations (e.g. guarding, patrol and CCTV surveillance) to prevent and detect unauthorised access; responding to, and investigating, security breaches or incidents.	Records documenting the conduct and outcomes of security inspections of facilities.	Completion of two subsequent inspections	Head of Estates & Facilities	JISC Guidance
Facilities Security Management			Records documenting the conduct of routine surveillance of facilities.	Creation + 1 month	Head of Estates & Facilities	JISC Guidance
Facilities Security Management			Records documenting occurrences of unauthorised access to facilities, and action taken.	Last action on incident + 1 year	Head of Estates & Facilities	JISC Guidance
Facilities Compliance Management	The activities involved in complying with legislative requirements relating to the management of specific types of facilities.	Activities include: enabling inspections by enforcing authorities; ensuring the proper maintenance of required licensing or certification.	Records documenting the conduct and outcomes of inspections of facilities by enforcing authorities.	Completion of subsequent inspection	Head of Estates & Facilities	JISC Guidance
Facilities Compliance Management			Original licences and certificates	Superseded	Head of Estates & Facilities	JISC Guidance
FINANCE MANAGEMENT The function of managing the institution's financial resources.						
Finance Strategy Development	The activities involved in developing and establishing the institution's finance strategy.	Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.	Key Records: documenting the development and establishment of the institution's finance strategy, policies and management.	Superseded + 10 years	The Directorate-University Secretary/Head of Finance	JISC Guidance
Finance Strategy Development			Working Papers: documenting the development and establishment of the institution's finance strategy, policies and management.	Issue of strategy/policies/procedures + 1 year		JISC Guidance
Financial Accounting	The activities involved in processing, recording, classifying and analysing financial transactions between the institution and third parties, and between the institution and its employees.	Activities include: accounting for income; accounting for expenditure; accounting for payments (other than salaries) to employees; accounting for payments to honorary appointees and other third parties.	Records documenting the issue of sales invoices and the processing of incoming payments.	Current financial year + 6 years	Head of Finance	Taxes Management Act 1970 c. 9 s 34 Limitation Act 1980 c. 58 s 5 Value Added Tax Act 1994 c. 23 HMRC 700/21 para. 5.2
Financial Accounting			Records documenting the receipt and payment of purchase invoices.	Current financial year + 6 years	Head of Finance	Taxes Management Act 1970 c. 9 s 34 Limitation Act 1980 c. 58 s 5 Value Added Tax Act 1994 c. 23 HMRC 700/21 para. 5.2
Financial Accounting			Records documenting the payment and/or reimbursement of employees' expenses.	Current financial year + 6 years	Head of Finance	Taxes Management Act 1970 c. 9 s 34 Limitation Act 1980 c. 58 s 5
Financial Accounting			Records documenting the payment of expenses to third parties (e.g. honorary appointees).	Current financial year + 6 years	Head of Finance	Taxes Management Act 1970 c. 9 s 34 Limitation Act 1980 c. 58 s 5
Financial Accounting			Records documenting the handling of petty cash.	Current financial year + 6 years	Head of Finance	Limitation Act 1980 c. 58 s 5 Value Added Tax Act 1994 c. 23 HMRC 700/21 para. 5.2

FUNCTION	SCOPE	SCOPE INCLUDES ...	TYPE OF RECORD	RETENTION PERIOD	OWNER OF RECORD	AUTHORITY
Financial Accounting			Records documenting the receipt and processing of tuition fees.	Current financial year + 6 years	Head of Finance	Taxes Management Act 1970 c. 9 s 34 Limitation Act 1980 c. 58 s 5
Financial Accounting			Records documenting the preparation of annual and statutory accounts	Current financial year + 6 years	Head of Finance	Limitation Act 1980 c. 58 s 5
Financial Accounting			Annual Accounts	Current financial year + 6 years	Head of Finance	Limitation Act 1980 c. 58 s 5
Management Accounting	The activities involved in monitoring and controlling the use of the institution's financial resources.		Records documenting analyses of the internal deployment of the institution's financial resources.	Current financial year + 1 year	Head of Finance	JISC Guidance
Internal Accounting	The activities involved in processing financial transactions between operating units (i.e. internal cross-charging).		Records documenting the processing of internal accounting transactions between operating units (i.e. cross-charges).	Current financial year + 1 year	Head of Finance	JISC Guidance
Internal Accounting			Records documenting the negotiation and administration of formal contracts between operating units (e.g. for the provision of services.)	Termination of contract + 1 year	Head of Finance	JISC Guidance
Funding Management	The activities involved in administering the institution's income.	Activities include: acknowledging receipt of funds; monitoring the use of funds and ensuring compliance with terms and conditions of funding; preparing reports and other information on the use of funds for funding providers.	Records documenting the administration of annual funding allocations from the appropriate statutory funding body.	Current financial year + 10 years	Head of Finance	JISC Guidance
Funding Management			Records documenting the administration of research grants provided by research councils or corporate sponsors.	Termination of grant + 6 years	Head of Finance	Limitation Act 1980 c. 58 s 5
Funding Management			Records documenting the administration of funding from European Structural Funds.	Final payment on the programme to the UK + 3 years (see note)	Director of Finance	EC No. 1260/1999 Article 38
Funding Management			Records documenting the administration of scholarship funds.	Current financial year + 6 years	Head of Schools	Limitation Act 1980 c. 58 s 5
Financial Planning & Budgeting	The activities involved in forecasting the institution's income, planning the utilisation of these resources and setting and managing budgets.	Activities include: setting budgets (at corporate level and for individual business units); monitoring actual against planned expenditure; virement.	Records documenting the preparation of annual operating budgets.	Current financial year + 1 year	Head of Finance	JISC Guidance
Financial Planning & Budgeting			Records documenting the monitoring of income and expenditure against annual operating budgets, and action taken to deal with variances.	Current financial year + 1 year	Head of Finance	JISC Guidance
Payroll Administration	The activities involved in administering the institution's employee payroll.	Activities include: processing statutory payroll deductions; authorising and processing non-statutory and elective payroll deductions; transferring payroll payments; notifying employees of their employment-related tax liabilities.	Records documenting employees' authorisation for non-statutory payroll deductions.	Current tax year + 6 years	Head of Finance	Limitation Act 1980 c. 58 s 5
Payroll Administration			Records documenting calculation and payment of employees' salaries and other payments.	Minimum: Current tax year + 3 years <u>Recommended:</u> Current tax year + 6 years	Head of Finance	Minimum: The National Minimum Wages Regulations SI 1999/584 Regulation 38(7) Income Tax (Pay As You Earn) Regulations 2003 SI 2003/2682 Regulation 97(8) <u>Recommended:</u> Taxes Management Act 1970 c. 9 s 34
Payroll Administration			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.	Current tax year + 3 years	Head of Finance	Income Tax (Pay As You Earn) Regulations 2003 SI 2003/2682 Regulation 97(8)
Payroll Administration			Records documenting the administration of payments made under the Statutory Sick Pay scheme.	Current tax year + 3 years	Head of Finance	The Statutory Sick Pay (General) Regulations 1982 SI 1982/894 Regulation 13
Payroll Administration			Records documenting the administration of payments made under the Statutory Maternity Pay scheme.	Current tax year + 3 years	Head of Finance	The Statutory Maternity Pay (General) Regulations 1986 SI 1986/1960 Regulation 26
Pension Contributions Administration	The activities involved in administering payments of the institution's employers' and employees' contributions to pension schemes.		Records documenting payments of the institution's employers' contributions to pensions schemes for its employees.	Termination of employment + 75 years	Head of Finance	Limitation Act 1980 c. 58 s 32
Pension Contributions Administration			Records documenting payments of the institution's employees' contributions to pension schemes.	Termination of employment + 75 years	Head of Finance	Limitation Act 1980 c. 58 s 32
Tax Management	The activities involved in managing the institution's tax affairs.	Activities include: preparing and filing tax returns; managing the institution's obligations for collecting and paying VAT on goods and services.	Records documenting the preparation and filing of the institution's tax returns.	Current tax year + 6 years	Head of Finance	Taxes Management Act 1970 c. 9 s 34
Tax Management			Records documenting the institution's accounting for VAT.	Current tax year + 6 years	Head of Finance	Value Added Tax Act 1994 c. 23 s 58 and Schedule 11, para. 6(3) Value Added Tax Regulations SI 1995/2518 s 31 HMRC 700/21 para. 5.2
Cash Management	The activities involved in managing the institution's liquid assets.		Records documenting the opening, closure and routine administration of bank accounts.	Closure of account + 6 years	Head of Finance	Limitation Act 1980 c. 58 s 5
Cash Management			Records documenting standing orders, direct debits etc.	Life of instruction + 6 years	Head of Finance	Limitation Act 1980 c. 58 s 5
Cash Management			Records documenting routine bank account deposits/withdrawals/transfers (paying-in slips, transfer instructions, bank statements etc.)	Current financial year + 6 years	Head of Finance	Taxes Management Act 1970 c. 9 s 34 Limitation Act 1980 c. 58 s 5
Investment Management	The activities involved in managing the institution's financial investment portfolio.	Activities include: liaising with fund managers.	Records documenting the overall management of the institution's financial investment portfolio.	Divestment + 6 years	Head of Finance	Limitation Act 1980 c. 58 s 5
Investment Management			Records documenting the purchase/sale of investments.	Current financial year (of transaction) + 6 years	Head of Finance	Taxes Management Act 1970 c. 9 s 34
Asset Management	The activities involved in collecting, recording and analysing information about the value of the institution's fixed assets for accounting purposes.	Activities include: recording acquisition and disposal of fixed assets; valuing assets and calculating depreciation; writing off assets prior to disposal; maintaining an asset register.	Records documenting the value of the institution's capital assets.	Current financial year + 6 years	Head of Finance	1970 c. 9 s 34
Asset Management			Records documenting decisions (and authorisations) to dispose of capital assets.	Current financial year (of disposal) + 6 years	Head of Finance	Taxes Management Act 1970 c. 9 s 34 Limitation Act 1980 c. 58 ss 2 and 5

FUNCTION	SCOPE	SCOPE INCLUDES ...	TYPE OF RECORD	RETENTION PERIOD	OWNER OF RECORD	AUTHORITY
HUMAN RESOURCES MANAGEMENT	The function of managing the institution's workforce and its contractual relationship with individual employees.					
Human Resources Strategy Development	The activities involved in developing and establishing the institution's human resources strategy.	Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.	Key Records: documenting the development and establishment of the institution's human resources strategy, policies and management.	Superseded + 10 years	Head of Human Resources	JISC Guidance
Human Resources Strategy Development			Working Papers: documenting the development and establishment of the institution's human resources strategy, policies and management.	Issue of strategy/policies/procedures + 1 year	Head of Human Resources	JISC Guidance
Workforce Planning	The activities involved in identifying the workforce competencies and numbers required to implement the institution's strategic plan and determining how to meet these requirements.	Activities include: analysing the size, composition, structure and competencies of the institution's workforce; reporting on the composition of the institution's workforce to regulators; developing role (job) descriptions and conducting role evaluations to assign roles to grades/bands in a salary structure (NOTE 1).	Records documenting the assessment and analysis of workforce requirements, and the identification and evaluation of options for meeting these requirements.	Current year + 3 years	Head of Human Resources	JISC Guidance
Workforce Planning			Records documenting management succession plans.	Superseded + 5 years	Head of Human Resources	JISC Guidance
Workforce Planning			Records documenting the development and evaluation of job specifications.	Superseded + 5 years	Head of Human Resources	JISC Guidance
Workforce Recruitment	The activities involved in recruiting employees to fill vacant positions.	Activities include: authorising recruitment; advertising vacancies; handling enquiries about vacancies; processing employment applications; reviewing and responding to unsolicited applications for employment.	Records documenting internal authorisation for recruitment.	Current year + 1 year	Head of Human Resources	JISC Guidance
Workforce Recruitment			Records documenting the advertising of vacancies.	Completion of recruitment process + 3 months	Head of Human Resources	Sex Discrimination Act 1975 c. 65 Race Relations Act 1976 c. 74 Disability Discrimination Act 1995 c. 50 The Employment Equality (Age) Regulations 2006 SI 2006/1031 Regulations 7, 36 and 42 Employment Equality (Religion or Belief) Regulations 2003 SI 2003/1660 Regulations 6, 28 and 34 SI 2003/1661 Regulations 6, 28 and 34 <i>Employment Practices Code</i> , Section 1.7.1 (Information Commissioner's Office, 2005)
Workforce Recruitment			Records documenting enquiries about vacancies and requests for application forms.	Completion of recruitment process	Head of Human Resources	JISC Guidance
Workforce Recruitment			Records documenting the handling of applications for vacancies: unsuccessful applications.	Completion of recruitment process + 3 months	Head of Human Resources	Sex Discrimination Act 1975 c. 65 Race Relations Act 1976 c. 74 Disability Discrimination Act 1995 c. 50 The Employment Equality (Age) Regulations 2006 SI 2006/1031 Regulations 7, 36 and 42 Employment Equality (Religion or Belief) Regulations 2003 SI 2003/1660 Regulations 6, 28 and 34
Workforce Recruitment			Records documenting the handling of applications for vacancies: successful applications.	Termination of employment + 6 years (as part of employee contract records) except information which is not relevant to the ongoing employment relationship.	Head of Human Resources	Limitation Act 1980 c. 58
Workforce Recruitment			Records containing management analyses of recruitment effectiveness e.g. use of advertising media.	Current year + 1 year	Head of Human Resources	JISC Guidance
Workforce Recruitment			Records documenting the handling of unsolicited applications for employment.	Receipt of application + 1 year	Head of Human Resources	JISC Guidance
Workforce Induction	The activities involved in developing and implementing induction programmes for new employees.	Activities include: developing general and role-specific induction programmes; administering induction programmes to ensure that all new employees complete the required programme.	Records documenting the development, overall delivery and assessment of induction programmes for new employees. For records documenting individual employees' induction programmes, see Employee Contract Management.	Current year + 5 years	Head of Human Resources	JISC Guidance
Workforce Induction			Records documenting the administration of induction programmes.	Completion of programme + 1 year OR Termination of programme + 1 year	Head of Human Resources	JISC Guidance

FUNCTION	SCOPE	SCOPE INCLUDES ...	TYPE OF RECORD	RETENTION PERIOD	OWNER OF RECORD	AUTHORITY
Workforce Training & Development	The activities involved in providing training and development opportunities for employees.	Activities include: identifying and analysing training and development needs; identifying and evaluating ways of meeting these needs; developing/selecting training and development programmes; monitoring take-up of training and development programmes; collecting and analysing feedback on training and development programmes; measuring the impact of training and development programmes.	Records containing summary information on workforce training and development needs. For records documenting individual employees' training and development needs, see Employee Contract Management.	Current year + 5 years	Head of Human Resources	JISC Guidance
Workforce Training & Development			Records documenting the development of training and development programmes to meet defined needs.	Completion of programme + 5 years	Head of Human Resources	JISC Guidance
Workforce Training & Development			Records containing individual feedback on training and development programmes.	Completion of analysis of feedback	Head of Human Resources	JISC Guidance
Workforce Training & Development			Records documenting (anonymised) workforce feedback on training and development programmes.	Current year + 5 years	Head of Human Resources	JISC Guidance
Workforce Training & Development			Records documenting management analyses of the impact of training and development programmes.	Current year + 5 years	Head of Human Resources	JISC Guidance
Workforce Performance Management	The activities involved in monitoring employee performance.	Activities include: designing methods of measuring performances; conducting and analysing performance assessments.	Records documenting the development of workforce performance assessment systems.	Life of system + 5 years	Head of Human Resources	JISC Guidance
Workforce Performance Management			Records containing summary (anonymised) results of employees' performance assessments.	Current year + 3 years	Head of Human Resources	JISC Guidance
Workforce Performance Management			Records documenting management analyses of the impact of workforce performance assessment systems.	Current year + 5 years	Head of Human Resources	JISC Guidance
Workforce Remuneration & Reward Management	The activities involved in developing and implementing workforce pay structures and reward schemes.		Records documenting the development of the institution's remuneration structure.	Current year + 10 years	Head of Human Resources	JISC Guidance
Workforce Remuneration & Reward Management			Records documenting pay reviews.	Current year + 5 years	Head of Human Resources	JISC Guidance
Workforce Remuneration & Reward Management			Records documenting special reward schemes (e.g. Merit Reviews).	Termination of scheme + 5 years	Head of Human Resources	JISC Guidance
Workforce Welfare Management	The activities involved in monitoring employee welfare and ensuring compliance with legislation.		Records documenting the hours worked by employees, including those who have agreed to work more than 48 hours a week, as required by the Working Time Regulations 1998 (SI 1998/1833).	Date of record + 2 years	Head of Human Resources	The Working Time Regulations 1998 SI 1998/1833 Regulations 5 and 9
Workforce Welfare Management			Records documenting health assessments for night workers, and the results of assessments, as required by the Working Time Regulations 1998 (SI 1998/1833).	Date of record + 2 years	Head of Human Resources	The Working Time Regulations 1998 SI 1998/1833 Regulations 5 and 9
Workforce Relations Management	The activities involved in managing the institution's relationship with its workforce.	Activities include: developing and implementing mechanisms for communicating with, and consulting, the workforce; conducting workforce surveys and reviewing and responding to the results.	Records documenting the design of workforce surveys and consultations.	Completion of survey/consultation + 5 years	Head of Human Resources	JISC Guidance
Workforce Relations Management			Records containing (identifiable) individual responses to workforce surveys and consultations.	Completion of analysis of responses	Head of Human Resources	JISC Guidance
Workforce Relations Management			Records containing summary (anonymised) results of workforce surveys and consultations.	Completion of survey + 5 years	Head of Human Resources	JISC Guidance
Workforce Relations Management			Records documenting grievances raised by staff (which do not relate directly to their own contracts of employment), the institution's response, action taken and the outcome.	Last action on case + 6 years	Head of Human Resources	Limitation Act 1980 c. 58
Employee Contract Management	The activities involved in managing the institution's contractual relationships with individual employees.	Activities include: maintaining complete and accurate records of individual employees' recruitment, induction, performance, discipline, training and development, occupational health and welfare, leave, pensions and termination; providing employment references for current and former employees.	Records documenting the employee's initial application for employment with the institution and supporting documentation supplied by third parties (e.g. references, Criminal Records Bureau checks).	Termination of employment + 6 years (as part of employee contract records) except information which is not relevant to the ongoing employment relationship.	Head of Human Resources	Limitation Act 1980 c. 58
Employee Contract Management			Records documenting the employee's subsequent applications for other jobs within the institution.	Duration of job + 1 year	Head of Human Resources	JISC Guidance
Employee Contract Management			Records documenting the employee's contract(s) of employment and changes to terms and conditions with the institution.	Termination of employment + 6 years	Head of Human Resources	Limitation Act 1980 c. 58
Employee Contract Management			Records documenting the job descriptions of positions held by the employee within the institution.	Duration of job + 1 year	Head of Human Resources	JISC Guidance
Employee Contract Management			Records documenting induction programmes attended by the employee.	Completion of induction + 1 year	Head of Human Resources	JISC Guidance
Employee Contract Management			Records documenting the employee's training and development needs, and the action taken to meet these needs.	Completion of actions + 5 years	Head of Human Resources	JISC Guidance
Employee Contract Management			Records documenting job-specific statutory/regulatory training requirements for the employee, and the training provided to meet these requirements.	Expiry of certification + 6 years OR Superseded + 6 years	Head of Human Resources	Limitation Act 1980 c. 58 s 5
Employee Contract Management			Records documenting routine assessments/reviews of the employee's performance, and any consequent action taken.	Superseded + 3 years	Head of Human Resources	JISC Guidance
Employee Contract Management			Records documenting disciplinary proceedings against the employee, where employment continues.	Closure of case + 6 years	Head of Human Resources	Common HR practice
Employee Contract Management			Records documenting grievances raised by the employee which relate directly to his/her own contract of employment, the institution's response, action taken and the outcome.	Closure of case + 6 years	Head of Human Resources	Common HR practice

FUNCTION	SCOPE	SCOPE INCLUDES ...	TYPE OF RECORD	RETENTION PERIOD	OWNER OF RECORD	AUTHORITY
Employee Contract Management			Records documenting the employee's remuneration and rewards (e.g. bonuses, merit awards, long service awards).	Minimum: Current tax year + 3 years <u>Recommended:</u> Current tax year + 6 years	Head of Human Resources	Limitation Act 1980 c. 58 s 5 <u>Minimum:</u> Income Tax (pay as you go) Regulations 2003 SI 2003/2682 Regulation 97(8) The National Minimum Wage Regulations SI 1999/584 Regulation 38(7) <u>Recommended:</u> 1970 c. 9 s 34
Employee Contract Management			Records relating to the administration of the employee's contractual holiday entitlement.	Current year + 1 year	Head of Human Resources	JISC Guidance
Employee Contract Management			Records documenting the employee's absence due to sickness.	Termination of employment + 40 years	Head of Human Resources	IR CA30 Statutory Sick Pay Manual for employers CA30
Employee Contract Management			Records documenting the authorisation and administration of special leave, e.g. compassionate leave, study leave.	Current year + 1 year	Head of Human Resources	JISC Guidance
Employee Contract Management			Records documenting the authorisation and administration of statutory leave entitlements, e.g. parental leave.	Completion of entitlement + 6 years	Head of Human Resources	The Maternity & Parental Leave etc Regulations 1999 SI 1999/3312
Employee Contract Management			Records documenting entitlements to, and calculations of, Statutory Maternity Pay.	Current Tax Year + 3 years	Head of Human Resources	The Statutory Maternity Pay (General) Regulations 1986 SI 1986/1960 Regulation 26
Employee Contract Management			Records containing employee's basic personal details (e.g. address, next of kin, emergency contacts).	Superseded	Head of Human Resources	JISC Guidance
Employee Contract Management			Records documenting pre-employment health screening of an employee: employees exposed to hazardous substances during employment.	See HEALTH & SAFETY MANAGEMENT - HAZARDOUS SUBSTANCE EXPOSURE CONTROL.	Head of Human Resources	JISC Guidance
Employee Contract Management			Records documenting pre-employment health screening of an employee: other employees.	Termination of employment + 6 years	Head of Human Resources	Limitation Act 1980 c. 58 s 5
Employee Contract Management			Records documenting the issue of personal protective equipment/other special equipment to an employee.	Termination of employment + 6 years	Head of Human Resources	Limitation Act 1980 c. 58 s 5
Employee Contract Management			Records documenting major injuries to an employee arising from accidents in the workplace.	Termination of employment + 40 years	Head of Human Resources	Limitation Act 1980 c. 58 s 11
Employee Contract Management			Records documenting the employee's termination of employment by voluntary resignation, redundancy, retirement (including on medical grounds) or dismissal.	Termination of employment + 6 years	Head of Human Resources	Limitation Act 1980 c. 58 s 5
Employee Contract Management			Records documenting references provided in confidence in support of the employee's application(s) for employment by another organisation.	Provision of reference + 1 year	Head of Human Resources	JISC Guidance
Industrial Relations Management	The activities involved in managing the institution's relationships with trades unions and labour organisations representing its workforce.	Activities include: managing recognition and de-recognition of trades unions; managing communication and consultation with trades unions and labour organisations conducting collective bargaining on behalf of the workforce.	Records documenting institutional recognition/derecognition of trades unions.	Derecognition + 6 years	Head of Human Resources	Limitation Act 1980 c. 58 s 5
Industrial Relations Management			Records documenting agreements with trade unions.	Termination of agreement + 10 years	Head of Human Resources	Chartered Institute of Personnel and Development, <i>Retention of personnel and other related records</i> (2006)
Industrial Relations Management			Records documenting routine communications with trade union representatives, including minutes of meetings.	Current year + 20 years	Head of Human Resources	JISC Guidance
Industrial Relations Management			Records documenting consultations/negotiations with trade unions on specific issues.	Last action on issue + 20 years	Head of Human Resources	JISC Guidance
Pension Schemes Administration	The activities involved in administering the institution's involvement with external pension schemes of which its staff are members.		Records documenting the institution's relationships with pension schemes to which all or part of its workforce belongs.	Termination of relationship + 5 years	Head of Human Resources	JISC Guidance
Pension Schemes Administration			Records documenting routine communications with the pension schemes.	Current year + 5 years	Head of Human Resources	JISC Guidance
INFORMATION COMPLIANCE MANAGEMENT The function of ensuring that the institution complies with legislation on access to information.						
Information Compliance Strategy Development	The activities involved in developing and establishing the institution's information compliance strategy.	Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.	Key Records: documenting the development and establishment of the institution's information compliance strategy and policies.	Superseded + 5 years	University Secretary	JISC Guidance
Information Compliance Strategy Development			Working Papers: documenting the development and establishment of the institution's information compliance strategy, policies and procedures.	Issue of strategy/policies/procedures + 1 year	University Secretary	JISC Guidance
Information Compliance Management Procedure Development	The activities involved in developing the institution's procedures for information compliance.	Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.	Master copies of procedures relating to information compliance.	Superseded + 3 years	University Secretary	JISC Guidance

FUNCTION	SCOPE	SCOPE INCLUDES ...	TYPE OF RECORD	RETENTION PERIOD	OWNER OF RECORD	AUTHORITY
Data Protection Compliance	The activities involved in complying with legislation on data protection.	Activities include: notifying details of the institution's data controller to the Information Commissioner; handling requests for personal information held by the institution.	Records documenting the institution's notification of data controller details (to be added to the public register of data controllers) to the Information Commissioner's Office, as required by s 2 of the Data Protection Act 1998 (c. 29).	Current year + 1 year	University Secretary	JISC Guidance
Data Protection Compliance			Records documenting the handling of requests for access to personal information held by the institution under the Data Protection Act 1998 (c. 29).	Last action on request + 1 year	University Secretary	Common practice
Data Protection Compliance			Records containing (anonymised) statistics, analyses and reports of requests for access to: - Personal information under the Data Protection Act 1998 (c. 29) - Information held by the University under the Freedom of Information Act 2000 (c36) - Environmental information under Environmental Information Regulations 2004 (SI 2004/3391)	Current year + 10 years	Head of Planning	JISC Guidance
Freedom of Information Compliance	The activities involved in complying with legislation on freedom of information.	Activities include: developing, publishing and maintaining the institution's Publication Scheme; handling requests for information held by the institution.	Records documenting the development and maintenance of the institution's Publication Scheme, as required by the Freedom of Information Act 2000 (c. 36) and the Freedom of Information (Scotland) Act 2002 (asp 13).	Completion of revision of Publication Scheme + 5 years	University Secretary	JISC Guidance
Freedom of Information Compliance			Records documenting the handling of requests for information held by the institution, made under the: - Freedom of Information Act 2000 (c. 36) - Environmental Information Regulations 2004 (SI 2004/3391)	Completion of request handling process + 3 years	University Secretary	Records created by a public body fulfilling its obligations under the Freedom of Information Act 2000 (The National Archives).
RECORDS MANAGEMENT The function of managing the institution's records.						
Records Management Strategy Development	The activities involved in developing and establishing the institution's records management strategy.	Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.	Key Records: documenting the development and establishment of the institution's records management strategy and policies.	Superseded + 5 years	University Secretary	JISC Guidance
Records Management Strategy Development			Working Papers: documenting the development and establishment of the institution's records management strategy, policies and procedures.	Issue of strategy/policies/procedures + 1 year	University Secretary	JISC Guidance
Records Management Procedure Development	The activities involved in developing the institution's procedures for the management of its records.	Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.	Master copies of procedures relating to records management.	Superseded + 3 years	University Secretary	JISC Guidance
Records Creation & Capture	The activities associated with creating and capturing records.	Activities include: determining recordkeeping requirements for individual business activities and processes.	Records documenting recordkeeping requirements for specific business activities and processes.	Superseded	University Secretary	JISC Guidance
Records Organisation & Description	The activities associated with organising, classifying and indexing records.	Activities include: developing business classification schemes; developing file plans; developing thesauri; developing metadata schemes.	Records documenting classification and indexing schemes for records.	Superseded + 5 years	University Secretary	JISC Guidance
Records Storage & Handling	The activities associated with storing records and ensuring proper handling while in transit to and from storage.	Activities include: determining appropriate storage conditions for records; devising storage control systems; determining requirements and devising systems for converting records to alternative storage media.	Records documenting storage locations of records.	Superseded	University Secretary	JISC Guidance
Records Storage & Handling			Records documenting the movement of records to/from storage.	Return of records + 1 year	University Secretary	JISC Guidance
Records Access Control	The activities involved in controlling access to records.	Activities include: devising access/retrieval control systems; operating access/retrieval control systems; tracking the provision of access to records; supervising access to records under controlled conditions.	Records documenting the provision of access to records.	Date of access + 1 year	University Secretary	JISC Guidance
Records Retention	The activities associated with retaining records for appropriate periods of time.	Activities include: identifying requirements to retain records; developing records retention schedules; applying records retention schedules.	Records documenting the determination of retention periods for records.	Completion of revised Records Retention Schedule + 1 year	University Secretary	JISC Guidance
Records Retention			Final versions of Records Retention Schedules	Permanent	University Secretary	JISC Guidance
Records Retention			Records documenting the review of individual records to determine requirements for ongoing retention, where records are disposed of.	Life of records + 25 years	Head of Department/School + University Secretary	JISC Guidance
Records Maintenance	The activities associated with maintaining the physical form and intellectual content of records.	Activities include: carrying out physical conservation of records.	Records documenting conservation work undertaken on records.	Disposal of records	Head of Estates & Facilities	JISC Guidance
Records Disposal	The activities associated with disposing of redundant records.	Activities include: authorising disposal of redundant records; preparing redundant records for disposal.	Records documenting authorisation for the disposal of redundant records.	Disposal of records + 25 years	Head of Department/School	JISC Guidance
Records Survey/Audit	The activities involved in conducting records surveys and audits.	Activities include: devising methods of capturing and analysing survey/audit data; capturing and analysing data; preparing survey/audit reports.	Records documenting the conduct and results of records surveys/audits.	Completion of subsequent survey/audit	University Secretary	JISC Guidance

FUNCTION	SCOPE	SCOPE INCLUDES ...	TYPE OF RECORD	RETENTION PERIOD	OWNER OF RECORD	AUTHORITY
ARCHIVES MANAGEMENT	The function of managing the institution's archives.					
Archives Strategy Development	The activities involved in developing and establishing the institution's archives strategy.	Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.	Key Records: documenting the development and establishment of the institution's archives strategy and policies.	Superseded + 5 years	University Secretary	JISC Guidance
Archives Strategy Development			Working Papers: documenting the development and establishment of the institution's archives strategy, policies and procedures.	Issue of strategy/policies/procedures + 1 year	University Secretary	JISC Guidance
Archives Management Procedure Development	The activities involved in developing the institution's procedures for the management of its archives.	Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.	Master copies of procedures relating to archives management.	Superseded + 3 years	University Secretary	JISC Guidance
Archives Acquisition	The activities involved in acquiring archives.	Activities include: receiving and appraising archives, and returning or otherwise disposing of unwanted material.	Records documenting the development and establishment of the selection criteria for records to be preserved as archives.	Life of archives	University Secretary	JISC Guidance
Archives Acquisition			Records documenting the appraisal, selection and acquisition of records for preservation as institutional archives.	Life of records	University Secretary	JISC Guidance
Archives Acquisition			Records documenting the accessioning of records acquired for preservation as archives.	Life of archives	University Secretary	JISC Guidance
Archives Organisation & Description	The activities involved in organising and describing archives.	Activities include: creating and maintaining records of the provenance, history and management of archives (including remedial conservation, de-accession and disposal).	Records documenting the institution's scheme of arrangement for its archives.	Life of records arranged according to the scheme	University Secretary	JISC Guidance
Archives Organisation & Description			Records documenting the development of the institution's standard descriptive model for its archives.	Life of records described using the model	University Secretary	JISC Guidance
Archives Organisation & Description			Records containing the descriptions of the records held as archives.	Life of records	Head of Department/School + University Secretary	JISC Guidance
Archives Storage & Handling	The activities involved in storing archives and in ensuring proper handling while in transit to and from storage.	Activities include: determining appropriate storage conditions; devising storage control systems.	Records documenting the monitoring and control of the storage of archives.	Current year + 1 year	University Secretary	JISC Guidance
Archives Storage & Handling			Records documenting the movement of archives from/to storage.	Return of items + 1 year	University Secretary	JISC Guidance
Archives Access Control	The activities involved in controlling access to archives.	Activities include: devising access control systems; supervising access to archives under controlled conditions.	Records documenting requests for access to archives.	Last action on request + 1 year	University Secretary	JISC Guidance
Archives Conservation	The activities involved in preserving the physical condition of archives.	Activities include: undertaking condition surveys; applying conservation treatments to preserve, repair or restore the condition of items.	Records documenting conservation work undertaken on items in the archives.	Life of records	University Secretary	JISC Guidance
Archives Disposal	The activities involved in de-accessioning and disposing of archives.	Activities include: seeking authorisation for disposal from the owners of records; disposing of de-accessioned archives by donation or sale; disposing of de-accessioned archives by destruction.	Records documenting authorisation for the disposal of de-accessioned records.	Completion of disposal process + 6 years	Head of Estates & Facilities	Limitation Act 1980 c. 58 s 5
Archives Promotion & Exploitation	The activities involved in promoting the archives and facilitating access to them.	Activities include: developing guides, indexes and other interpretive materials; developing and organising events (e.g. temporary exhibitions, conferences, tours) and activities (e.g. workshops, lectures, demonstrations); assembling special loan collections of items and interpretive materials to support recreational activities and educational programmes.	Records documenting the development and maintenance of specialised finding aids to promote and facilitate access to (items in) the archives.	Superseded	Head of Estates & Facilities/ University Secretary	JISC Guidance
Archives Promotion & Exploitation			Records documenting enquiries about (items in) the archives, and the responses provided.	Last action on enquiry + 1 year	Head of Estates & Facilities	JISC Guidance
Archives Promotion & Exploitation			<i>Note: key information from substantive enquiries may be extracted and indexed to avoid repetitive research.</i>			
Archives Promotion & Exploitation			Records documenting the selection and use of items from the archives by institutional staff (e.g. for teaching events, publications, exhibitions).	Current + 5 years	Head of Estates & Facilities	JISC Guidance
Archives Promotion & Exploitation			Records documenting the selection and use of items from the archives by third parties (e.g. for exhibitions, publications, television programmes).	Last action on project + 5 years	Head of Estates & Facilities	JISC Guidance
Archives Promotion & Exploitation			Records documenting loans of items from the archives to third parties.	Termination of loan + 6 years	Head of Estates & Facilities	Limitation Act 1980 c. 58 s 5
COLLECTIONS MANAGEMENT	The function of managing the institution's collections of artworks, artefacts and manuscripts.					

FUNCTION	SCOPE	SCOPE INCLUDES ...	TYPE OF RECORD	RETENTION PERIOD	OWNER OF RECORD	AUTHORITY
Collections Promotion	The activities involved in promoting the institution's collections as cultural / scientific resources.	Activities include: developing guides and other interpretive and promotional materials; developing and organising promotional events (e.g. temporary exhibitions, conferences, tours) and activities (e.g. workshops, lectures, demonstrations); handling enquiries about collections.	Records documenting the design and implementation of promotional events concerning the university's collections.	Last action on event + 5 years	Director of Marketing	JISC Guidance
Collections Promotion			Records documenting enquiries about collections and the responses given concerning the university's collections.	Last action on enquiry + 1 year	Director of Marketing	JISC Guidance
PUBLICATIONS MANAGEMENT						
The function of managing the institution's collections of publications acquired or assembled to support its work.						
Publications Strategy Development	The activities involved in developing and establishing the institution's publications strategy.	Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.	Key Records: documenting the development and establishment of the institution's publications strategy and policies.	Superseded + 5 years	Director of Library Services	JISC Guidance
Publications Strategy Development			Working Papers: documenting the development and establishment of the institution's publications strategy, policies and procedures.	Issue of strategy/policies/procedures + 1 year	Director of Library Services	JISC Guidance
Publications Management Procedure Development	The activities involved in developing the institution's procedures for the management of publications.	Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.	Master copies of procedures relating to publications management.	Superseded + 3 years	Director of Library Services	JISC Guidance
Publications Acquisition	The activities involved in acquiring publications.	Activities include: identifying and selecting publications to purchase.	Records documenting the process of selecting publications to purchase.	Completion of purchase	Director of Library Services	JISC Guidance
Publications Acquisition			Records documenting decisions to (dis)continue purchase of publications.	Last action on issue + 1 year	Director of Library Services	JISC Guidance
Publications Organisation	The activities involved in organising, classifying and cataloguing publications.		Records documenting the institution's scheme(s) for classifying and cataloguing publications.	Until all catalogues based on the scheme are superseded	Director of Library Services	JISC Guidance
Publications Organisation			Catalogues/indexes	Superseded	Director of Library Services	JISC Guidance
Publications Storage & Handling	The activities associated with storing publications and ensuring proper handling while in transit to and from storage.	Activities include: determining appropriate storage conditions; devising storage control systems.	Records documenting the monitoring and control of storage conditions.	Current year + 1 year	Director of Library Services	JISC Guidance
Publications Storage & Handling			Records documenting the movement of items from/to storage.	Return of items + 1 year	Director of Library Services	JISC Guidance
Publications Conservation	The activities involved in preserving the physical condition of publications.	Activities include: binding items for preservation purposes; repairing damaged items.	Records documenting conservation work undertaken on publications.	Life of items	Director of Library Services	JISC Guidance
Publications Disposal	The activities involved in disposing of redundant publications.		Records documenting the authorisation for the disposal of redundant publications.	Disposal of publications + 1 year	Director of Library Services	JISC Guidance
Copyright Compliance Administration	The activities involved in administering the institution's compliance with the Copyright, Designs & Patents Act 1988.	Activities include: obtaining permission to copy from published works in which the copyright is not owned by the institution; monitoring use of such works within the institution; participating in surveys / audits undertaken by copyright licensing organisations; facilitating inspections undertaken by copyright licensing organisations; administering payments to copyright licensing organisations.	Records documenting applications for permission to copy from published works which are not covered by Copyright Licensing Agency licences, where permission is not granted.	Last action on application + 1 year	Director of Library Services	JISC Guidance
Copyright Compliance Administration			Records documenting applications for permission to copy from published works which are not covered by Copyright Licensing Agency licences, where permission is granted.	Period for which permission is granted + 6 years	Director of Library Services	Limitation Act 1980 c. 58 s 5
Copyright Compliance 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 year + 1 year	Director of Library Services	JISC Guidance
Copyright Compliance Administration			Records documenting the institution's participation in surveys / audits undertaken by the Copyright Licensing Agency.	Completion of survey/audit	Director of Library Services	JISC Guidance
Copyright Compliance Administration			Records documenting the results of surveys / audits undertaken by the Copyright Licensing Agency (provided to the institution by the Agency).	Current + 5 years	Director of Library Services	JISC Guidance
Copyright Compliance Administration			Records documenting the institution's participation in inspections undertaken by copyright owners or their representatives to check the institution's compliance with legal / contractual requirements.	Last action on case + 1 year	Director of Library Services	JISC Guidance
INTELLECTUAL PROPERTY RIGHTS (IPR) MANAGEMENT						

FUNCTION	SCOPE	SCOPE INCLUDES ...	TYPE OF RECORD	RETENTION PERIOD	OWNER OF RECORD	AUTHORITY
IPR Management Policy Development	The activities involved in developing and establishing the institution's policies on IPR.	Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.	Working Papers: documenting the development and establishment of the institution's IPR management policies and procedures.	Issue of policy/procedures + 1 year	University Secretary	JISC Guidance
IPR Management Procedure Development			Master copies of procedures relating to IPR management.	Superseded + 3 years	University Secretary	JISC Guidance
IPR Protection	The activities involved in protecting the institution's IPR.	Activities include: applying for formal protection for intellectual property (i.e. granting of patents, registration of designs and trade marks); amending, cancelling or renewing existing protection; enforcing protection.	Records documenting the institution's applications for patents and patent certificates.	Life of patent + 50 years	University Secretary	Legal opinion
IPR Protection	The activities involved in protecting the institution's IPR.	Activities include: applying for formal protection for intellectual property (i.e. granting of patents, registration of designs and trade marks); amending, cancelling or renewing existing protection; enforcing protection.	Records documenting the institution's applications for other forms of IPR protection (registered trade marks, registered designs) and certificates of registration	End of registration + 6 years	University Secretary	Limitation Act 1980 c. 58 s 5
IPR Protection			Records documenting applications for renewal of IPR protection, up to the maximum period permitted.	Life of patent/End of registration	University Secretary	JISC Guidance
IPR Protection			Records documenting routine monitoring of third party activity to detect infringements of the institution's IPR.	Current year + 5 years	University Secretary	JISC Guidance
IPR Protection			Records documenting identified infringements of the institution's IPR, and action taken other than litigation.	Last action on case + 6 years	University Secretary	Limitation Act 1980 c. 58 s 5
INFORMATION & COMMUNICATIONS TECHNOLOGY (ICT) SYSTEMS MANAGEMENT	The function of managing the institution's information and communications technology (ICT) systems.					
ICT Systems Strategy Development	The activities involved in developing and establishing the institution's ICT systems strategy.	Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.	Records documenting the development and establishment of the institution's ICT systems strategy and policies: key records.	Superseded + 5 years	Director of Information Technology	JISC Guidance
ICT Systems Strategy Development			Working Papers: documenting the development and establishment of the institution's ICT systems strategy, policies and procedures.	Issue of strategy/policies /procedures + 1 year	Director of Information Technology	JISC Guidance
ICT Systems Management Procedure Development	The activities involved in developing the institution's procedures for managing ICT systems.	Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.	Master copies of procedures relating to the management of ICT systems.	Superseded + 3 years	Director of Information Technology	JISC Guidance
ICT Systems Development	The activities involved in developing new ICT systems and re-developing existing systems.	Activities include: specifying requirements; evaluating potential systems/solutions; installing systems; testing systems; commissioning systems; controlling changes to systems; decommissioning systems.	Records documenting the initial development and post-implementation modification and maintenance of ICT systems.	Decommissioning of system + 5 years	Director of Information Technology	JISC Guidance
ICT Systems Development			Records documenting the initial development of ICT systems which are not implemented.	Last action on development + 5 years	Director of Information Technology	JISC Guidance
ICT Systems Development			Records documenting the management of ICT systems development projects (i.e. project management records).	Termination of project + 5 years	Director of Information Technology	JISC Guidance
ICT Systems Operations Management	The activities involved in operating ICT systems.	Activities include: monitoring system performance; reporting, investigating and resolving system faults; managing system data storage, including backup, migration, archiving and deletion; maintaining appropriate system software licences.	Records documenting the routine monitoring and testing of the operation of ICT systems, and action taken to rectify problems and optimise performance.	Current year + 1 year	Director of Information Technology	JISC Guidance
ICT Systems Operations Management			Records documenting faults reported by users of ICT systems, and action taken to investigate and resolve the problem.	Last action on fault + 1 year	Director of Information Technology	JISC Guidance
ICT Systems Operations Management			Records documenting the management of system data storage, including the operation of routine data backup, archiving and deletion routines.	Current year + 1 year	Director of Information Technology	JISC Guidance
ICT Systems Operations Management			Records documenting user requests to recover data from backup or archive stores, and action taken.	Last action on request + 3 months	Director of Information Technology	JISC Guidance
ICT Systems Operations Management			Records documenting the maintenance of appropriate software licences for live ICT systems.	Issue of new licence	Director of Information Technology	JISC Guidance
ICT Systems Security Management	The activities involved in managing access to, and use of, the institution's ICT systems.	Activities include: opening and closing system user accounts; monitoring use of systems to ensure compliance with institutional policies and relevant legislation; responding to security breaches or incidents; sanitisation of ICT hardware before disposal.	Records documenting the security arrangements for ICT systems.	Decommissioning of system + 5 years	Director of Information Technology	JISC Guidance
ICT Systems Security Management			Records documenting the opening, maintenance and closure of user accounts for ICT systems.	Closure of account + 1 year	Director of Information Technology	JISC Guidance
ICT Systems Security Management			Records documenting routine monitoring of the use of ICT systems to ensure compliance with legal requirements and institutional policies.	Current year + 1 year	Director of Information Technology	JISC Guidance

FUNCTION	SCOPE	SCOPE INCLUDES ...	TYPE OF RECORD	RETENTION PERIOD	OWNER OF RECORD	AUTHORITY
ICT Systems Security Management			Records documenting attempted or actual security breaches of the institution's ICT systems, and action taken.	Last action on incident + 1 year	Director of Information Technology	JISC Guidance
ICT Systems Security Management			Requests for, and authorisation of, connections of third party equipment to the institution's networks, either on institutional premises or via dial-up communications links.	Termination of connection + 1 year	Director of Information Technology	JISC Guidance
ICT Systems Security Management			Records documenting the removal/return of mobile ICT systems hardware and software from/to the institution's premises.	Return of equipment + 3 months	Director of Information Technology	JISC Guidance
ICT Systems Security Management			Records documenting arrangements for the sanitisation of institutional ICT equipment prior to disposal.	Disposal of equipment + 1 year	Director of Information Technology	JISC Guidance
ICT Systems Training	The activities involved in providing training for users of the institution's ICT systems.	Activities include: identifying training requirements; identifying and evaluating training options. For external training, activities include: identifying and evaluating training programmes; organising attendance at training events; evaluating training programmes/events. For internal training, activities include: developing training programmes; organising and arranging training events; delivering training; evaluating training programmes/events.	Records documenting the development of technical and application training for ICT system users.	Superseded + 1 year	Director of Information Technology	JISC Guidance
EQUIPMENT & CONSUMABLES MANAGEMENT						
Equipment & Consumables Strategy Development	The function of managing equipment and consumables which are owned by the institution, or which the institution has legal rights to use. The activities involved in developing and establishing the institution's equipment and consumables strategy.	Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.	Working Papers: documenting the development and establishment of the institution's procedures for equipment and consumables.	Issue of procedures + 1 year	Head of Estates & Facilities	JISC Guidance
Equipment & Consumables Management Procedure Development			Master copies of procedures relating to the management of equipment and consumables.	Superseded + 3 years	Head of Estates & Facilities	JISC Guidance
Equipment & Consumables Selection	The activities involved in selecting equipment and consumables.	Activities include: developing specifications of requirements; identifying sources of supply; evaluating and selecting items.	Records documenting the development of specifications for, and the selection of, equipment/consumables: major items	Life of item + 6 years	Head of Estates & Facilities	Limitation Act 1980 c. 58 s 5
Equipment & Consumables Selection			Records documenting the development of specifications for, and the selection of, equipment/consumables: items which are safety critical or associated with hazardous operations	Life of item + 40 years	Head of Estates & Facilities	JISC Guidance
Equipment & Consumables Selection			Records documenting the development of specifications for, and the selection of, equipment/consumables: other items	Life of item	Head of Estates & Facilities	JISC Guidance
Equipment & Consumables Storage	The activities involved in storing equipment and consumables.	Activities include: monitoring storage conditions to ensure compliance with technical standards and/or legislation; monitoring the condition of items held in storage; maintaining the stock inventory; monitoring and maintaining stock levels; controlling the allocation/issue of items from storage.	Records documenting the monitoring of the condition of stored equipment/consumables.	Current year + 1 year	Head of Estates & Facilities	JISC Guidance
Equipment & Consumables Storage			Records documenting the stock inventory for equipment/consumables.	Superseded	Head of Estates & Facilities	JISC Guidance
Equipment & Consumables Storage			Records documenting routine stocktaking and stock checking.	Current year + 1 year	Head of Estates & Facilities	JISC Guidance
Equipment & Consumables Storage			Records documenting the movement of stock into and from storage.	Current year + 1 year	Head of Estates & Facilities	JISC Guidance
Equipment Installation/Commissioning	The activities involved in installing/commissioning equipment.	Activities include: conducting pre-commissioning inspections/examinations/tests; conducting post-installation inspections/examinations/tests to ensure compliance with technical standards and/or legal requirements.	Records documenting the installation of equipment: major items.	Decommissioning/removal + 6 years	Head of Estates & Facilities	Limitation Act 1980 c. 58 s 5
Equipment Installation/Commissioning			Records documenting the installation of equipment: items which are safety critical or associated with hazardous operations.	Decommissioning/removal + 40 years	Head of Estates & Facilities	JISC Guidance
Equipment Installation/Commissioning			Records documenting the installation of equipment: other items.	Decommissioning/removal	Head of Estates & Facilities	JISC Guidance
Equipment Installation/Commissioning			Health and Safety File for fixed plant which is a 'structure' as defined in Regulation 2 of the Construction (Design and Management) Regulations 1994 (SI 1994/3140).	Decommissioning/removal of plant	Head of Estates & Facilities/ Head of Health & Safety	Construction (Design and Management) Regulations 1994 SI 1994/3140 Regulation 12
Equipment Installation/Commissioning			Reports of pre-commissioning examinations of lifting equipment, as required by Regulation 9(1) and 9(2) of the Lifting Operations and Lifting Equipment Regulations 1998 (SI 1998/2307).	Decommissioning	Head of Estates & Facilities	The Lifting Operations and lifting Equipment Regulations 1998 SI 1998/2307 Regulation 11(2)(a)(i) and 11(2)(a)(iii)
Equipment Installation/Commissioning			Reports of pre-commissioning examinations of accessories for lifting, as required Regulation 9(1) of the Lifting Operations and Lifting Equipment Regulations 1998 (SI 1998/2307).	Date of report + 2 years	Head of Estates & Facilities	The Lifting Operations and lifting Equipment Regulations 1998 SI 1998/2307 Regulation 11(2)(a)(ii)
Equipment Inspection, Testing & Maintenance	The activities involved in maintaining the institution's equipment in sound working order to ensure compliance with legislation, technical standards etc.	Activities include: conducting inspections and tests at planned or required intervals; undertaking planned preventive maintenance; repairing or modifying equipment in response to reported problems.	Records documenting the inspection, testing and maintenance of equipment, except as specified elsewhere.	Disposal of item + 1 year	Head of Estates & Facilities	JISC Guidance

FUNCTION	SCOPE	SCOPE INCLUDES ...	TYPE OF RECORD	RETENTION PERIOD	OWNER OF RECORD	AUTHORITY
Equipment Inspection, Testing & Maintenance			Records documenting the inspection, testing and maintenance of equipment: major items other than those specified elsewhere.	Decommissioning/Removal + 6 years	Head of Estates & Facilities	Limitation Act 1980 c. 58 s 5
Equipment Inspection, Testing & Maintenance			Maintenance logs for equipment	Life of equipment + 6 years	Head of Estates & Facilities	The Provision and Use of Work Equipment Regulations 1998 SI 1998/2306 Regulation 5(2) Limitation Act 1980 c. 58 s 5
Equipment Inspection, Testing & Maintenance			Records documenting inspections of equipment, made under Regulation 6 of the Provision and Use of Work Equipment Regulations 1998 (SI 1998/2306).	Completion of subsequent inspection	Head of Estates & Facilities	The Provision and Use of Work Equipment Regulations 1998 SI 1998/2306 Regulation 6(3)
Equipment Inspection, Testing & Maintenance			Records documenting the inspection, testing and maintenance of equipment: items which are safety critical or are associated with hazardous operations.	Decommissioning/Disposal + 15 years	Head of Estates & Facilities/ Head of Health & Safety	Limitation Act 1980 c.58 s 14
Equipment Inspection, Testing & Maintenance			Records documenting the examination, testing and repair of plant and equipment provided to control exposure to: - Substances hazardous to health (Regulation 9 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677) - Asbestos (Regulation 13 of the Control of Asbestos Regulations 2006 (SI 2006/2739) - Lead (Regulation 8 of the Control of Lead at Work Regulations 2002 (SI 2002/2676)	Date of examination/test/repair + 5 years	Head of Estates & Facilities/ Head of Health & Safety	The Control of Substances Hazardous to Health Regulations 2002 SI 2002/2677 Regulation 9(4)
Equipment Inspection, Testing & Maintenance			Reports of inspection and 'thorough examination' of lifting equipment, as required by Regulation 9 of the Lifting Operations and Lifting Equipment Regulations 1998 (SI 1998/2307).	Date of subsequent report OR Date of report + 2 years, whichever is the later	Head of Estates & Facilities	The Lifting Operations and Lifting Equipment Regulations 1998 SI 1998/2307 Regulation 11(2)(a)(iv)
Equipment & Consumables Disposal	The activities involved in disposing of surplus or redundant equipment and consumables.	Activities include: authorising disposal; identifying and evaluating alternative methods of disposal; undertaking cleaning/sanitisation of equipment and consumables prior to disposal; providing any necessary certification (e.g. of safety) or documentation (e.g. maintenance history) to recipients of sold or donated equipment and consumables; where appropriate (e.g. for vehicles), administering transfer of ownership of equipment and consumables and retaining necessary documentation.	Records documenting authorisation for the disposal of equipment/consumables, and the evaluation of alternative methods of disposal.	Disposal of item + 1 year	Head of Estates & Facilities	JISC Guidance
Equipment & Consumables Disposal			Records documenting the cleaning/sanitisation of equipment/consumables prior to disposal: items used in connection with operations involving substances hazardous to health.	Disposal of item + 15 years	Head of Estates & Facilities	Limitation Act 1980 c.58 s 14
Equipment & Consumables Disposal			Records documenting the cleaning/sanitisation of equipment/consumables prior to disposal: other items.	Disposal if item + 6 year	Head of Estates & Facilities	Limitation Act 1980 1980 c. 58 s 5
Equipment & Consumables Disposal			Records documenting the transfer of ownership of equipment/consumables.	Disposal of item + 1 year	Head of Estates & Facilities	JISC Guidance
INSURANCE MANAGEMENT						
	The function of assessing the institution's liabilities and insurance needs, and of maintaining adequate insurance cover.					
Insurance Strategy Development	The activities involved in developing and establishing the institution's insurance strategy.	Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.	Key Records: documenting the development and establishment of the institution's insurance strategy and policies.	Superseded + 5 years	Director of Finance	JISC Guidance
Insurance Strategy Development			Working Papers: documenting the development and establishment of the institution's insurance strategy, policies and procedures relating to the management of insurance cover and claims.	Issue of strategy + 1 year	Director of Finance	JISC Guidance
Insurance Management Procedure Development	The activities involved in developing the institution's procedures for insurance.	Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.	Master copies of procedures relating to the management of insurance cover and claims.	Superseded + 3 years	Director of Finance	JISC Guidance
Insurance Policy Management	The activities involved in establishing and maintaining insurance policies.	Activities include: selecting, reviewing, renewing, amending and terminating insurance policies; liaising with insurers.	Records documenting the arrangement and renewal of insurance policies: employers' liability insurance. See also Employers' Liability Insurance Certificates.	Expiry of policy + 6 years	Director of Finance	Limitation Act 1980 c.58 s 5
Insurance Policy Management			Employers' Liability Insurance Certificates	Commencement/Renewal of policy + 40 years	Director of Finance	The Employers' Liability (Compulsory Insurance) Regulations 1998 SI 1998/2573 Regulation 4(4)
Insurance Policy Management			Records documenting the arrangement and renewal of insurance policies: all other insurance.	Expiry of policy + 6 years	Director of Finance	Limitation Act 1980 c.58 s 5

FUNCTION	SCOPE	SCOPE INCLUDES ...	TYPE OF RECORD	RETENTION PERIOD	OWNER OF RECORD	AUTHORITY
Insurance Claim Administration	The activities involved in administering the review and settlement of claims against insurance policies.	Activities include: reviewing claims; liaising with insurers and claimants.	Records documenting claims, and the outcomes of claims, against insurance policies.	Settlement of claim + 6 years	Director of Finance	Limitation Act 1980 c.58 s 5
PROCUREMENT						
The function of purchasing goods, works and services from external organisations.						
Procurement Strategy Development	The activities involved in developing and establishing the institution's procurement strategy.	Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.	Key Records: documenting the development and establishment of the institution's procurement strategy and policies.	Superseded + 5 years	Head Of Procurement	JISC Guidance
Procurement Strategy Development			Working Papers: documenting the development and establishment of the institution's procurement strategy, policies and procedures.	Issue of strategy /policies/procedures+ 1 year	Head Of Procurement	JISC Guidance
Procurement Procedure Development	The activities involved in developing the institution's procedures for procurement.	Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.	Master copies of procedures relating to the management of procurement.	Superseded + 3 years	Head Of Procurement	JISC Guidance
Supplier Approval	The activities involved in approving organisations or individuals as suppliers of goods, works or services to the institution.	Activities include: issuing invitations to apply for approval; evaluating applications for approval; notifying applicants of evaluation outcomes.	Records documenting supplier evaluation criteria.	Superseded + 5 years	Head Of Procurement	JISC Guidance
Supplier Approval			Records documenting invitations to prospective suppliers to apply for approval.	Expiry of invitation OR Rejection of application + 6 months OR Completion of approval	Head Of Procurement	JISC Guidance
Supplier Approval			Records documenting the evaluation of applications for approval from prospective suppliers, and notification of the outcome : approved suppliers.	Termination of approval	Head Of Procurement	JISC Guidance
Supplier Approval			Records documenting the evaluation of applications for approval from prospective suppliers, and notification of the outcome : rejected suppliers.	Rejection + 1 year	Head Of Procurement	JISC Guidance
Supplier Approval			Supplier database	While current	Head Of Procurement	JISC Guidance
Contract Tendering	The activities involved in tendering contracts for the supply of goods, works or services to the institution.	Activities include: preparing Invitations to Tender (ITT); defining tender evaluation and selection criteria; issuing ITTs; controlling the receipt and opening of tenders; evaluating tenders; negotiating and awarding contracts; reporting and publishing information about contracts awarded, where this is required by legislation	Records documenting the process of inviting and evaluating pre-qualification submissions from prospective suppliers.	Award of supply contract + 1 year	Head Of Procurement	JISC Guidance
Contract Tendering			Records documenting Invitations to Tender and tender evaluation criteria.	Termination of supply contract awarded + 6 years	Head Of Procurement	Limitation Act 1980 1980 c. 58 s 5
Contract Tendering			Records documenting the issue of Invitations to Tender and handling of incoming tenders.	Award of supply contract + 1 year	Head Of Procurement	JISC Guidance
Contract Tendering			Records documenting the evaluation of tenders, the conduct of negotiations with tenderers and the notification of the results of the tender evaluation process: rejected tenders.	Award of supply contract + 1 year	Head Of Procurement	JISC Guidance
Contract Tendering			Records documenting the evaluation of tenders, the conduct of negotiations with tenderers and the notification of the results of the tender evaluation process: accepted tenders.	Termination of contract + 6 years	Head Of Procurement	Limitation Act 1980 c.58 s 5
Purchasing	The activities involved in purchasing goods, works or services for the institution without tendering contracts.	Activities include: setting purchasing authorisation limits; authorising purchasing; obtaining quotations or estimates; ordering; receiving and checking that goods, works or services are delivered as required.	Records documenting purchasing authorisation limits.	Superseded + 1 year	Head Of Procurement	JISC Guidance
Purchasing			Records documenting internal authorisation for procurement.	Current financial year + 1 year	Head Of Procurement	JISC Guidance
Purchasing			Purchase Orders	Current financial year + 6 years	Head Of Procurement	Limitation Act 1980 c. 58 s 5 HMRC 700/21 para. 5.2
Purchasing			Goods Received Notes/Goods Inwards Notes	Current financial year + 6 years	Head Of Procurement	Limitation Act 1980 c. 58 s 5 HMRC 700/21 para. 5.2
Contract Management	The activities involved in managing contracts for the supply of goods, works or services to the institution.	Activities include: monitoring supplier performance and taking appropriate action to deal with under-performance; handling complaints/disputes with suppliers; managing the transition of work to/from suppliers, where suppliers change.	Records documenting variations to contracts (e.g. revisions, extensions).	Termination of contract + 6 years	Head Of Procurement	Limitation Act 1980 1980 c. 58 s 5
Contract Management			Records documenting the monitoring of supplier performance and action taken regarding under-performance.	Termination of contract + 6 years	Head Of Procurement	Limitation Act 1980 1980 c. 58 s 5
PUBLISHING						
The function of publishing materials for internal or external distribution.						

FUNCTION	SCOPE	SCOPE INCLUDES ...	TYPE OF RECORD	RETENTION PERIOD	OWNER OF RECORD	AUTHORITY
Publishing Strategy	The activities involved in developing and establishing the institution's publishing strategy.	Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.	Key Records: documenting the development and establishment of the institution's publishing strategy and policies.	Superseded + 5 years	Director of Marketing	JISC Guidance
Publishing Strategy			Working Papers: documenting the development and establishment of the institution's publishing strategy, policies and procedures.	Issue of strategy/policies/procedures + 1 year	Director of Marketing	JISC Guidance
Publishing Procedure	The activities involved in developing the institution's procedures for publishing.	Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.	Master copies of procedures relating to the management of publishing.	Superseded + 3 years	Director of Marketing	JISC Guidance
Publication Production	The activities involved in producing publications.	Activities include: planning and preparing content (commissioning, research, writing, editing) for publication; designing publications; producing publications.	Records documenting the design, commissioning, editing and production of publications.	Issue of publication + 1 year	Director of Marketing	JISC Guidance
Publication Distribution	The activities involved in distributing publications internally or externally.	Activities include: drawing up plans for proactive distribution of publications; responding to requests for distribution of publications.	Records documenting the distribution of publications.	Current year + 1 year	Director of Marketing	JISC Guidance
Publication Marketing	The activities involved in marketing publications.	Activities include: organising review of publications in appropriate journals; producing and distributing marketing materials.	Records documenting the development of marketing plans for publications.	Life of publication	Director of Marketing	JISC Guidance
MANAGEMENT INFORMATION COLLECTION, ANALYSIS & REPORTING						
Management Information Collection	The activities involved in collecting and maintaining management information.	Activities include: specifying data to be submitted for central collation and maintenance; creating and maintaining central data sets.	Dataset specifications and protocols for submission and collation of data.	Superseded		JISC Guidance
Management Information Analysis & Reporting	The activities involved in analysing management information and producing reports.	Activities include: producing standard, routine analyses and reports; producing customised, ad hoc analyses and reports to meet individual requirements.	Management information reports	Current year + 3 years		JISC Guidance

FUNCTION	SCOPE	SCOPE INCLUDES ...	TYPE OF RECORD	RETENTION PERIOD	OWNER OF RECORD	AUTHORITY
PUBLIC RELATIONS MANAGEMENT						
The function of raising and maintaining the institution's public profile, and of managing its relationships with the public.						
Public Relations Strategy Development	The activities involved in developing and establishing the institution's public relations strategy.	Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.	Key Records: documenting the development and establishment of the institution's public relations strategy and policies.	Superseded + 5 years	Director of Marketing	JISC Guidance
Public Relations Strategy Development			Working Papers: documenting the development and establishment of the institution's public relations strategy, policies and procedures.	Issue of strategy/policies/procedures + 1 year	Director of Marketing	JISC Guidance
Public Relations Procedure Development	The activities involved in developing and establishing the institution's policies on managing public relations.	Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.	Master copies of procedures relating to public relations.	Superseded + 3 years	Director of Marketing	JISC Guidance
Public Communications Management	The activities involved in managing the institution's communications with the public.	Activities include: handling enquiries, suggestions and complaints from the public; conducting surveys of the public.	Records documenting enquiries from members of the public and the responses provided.	Last action on enquiry + 1 year	Director of Marketing	JISC Guidance
Public Communications Management			Records documenting unsolicited feedback from members of the public, the internal handling of this feedback and the responses provided.	Last action on feedback + 1 year	Director of Marketing	JISC Guidance
Public Communications Management			Records documenting the design and conduct of public surveys.	Completion of survey + 3 years	Director of Marketing	JISC Guidance
Public Communications Management			Results of public surveys: individual responses	Completion of analysis of survey responses	Director of Marketing	JISC Guidance
Public Communications Management			Results of public surveys: summaries and analyses of responses	Completion of survey + 3 years	Director of Marketing	JISC Guidance
Public Communications Management			Records documenting complaints from members of the public, the internal handling of these complaints and the responses provided.	Last action on complaint + 1 year	Director of Marketing	JISC Guidance
Public Events Management	The activities involved in organising public events held by the institution.	Activities include: determining dates and times; planning programmes; arranging venues, catering, security, transport etc.; issuing invitations; designing publicity materials (e.g. brochures, posters) and arranging production; designing event materials (e.g. delegate packs, menus) and arranging production; organising publicity (e.g. official photography, media coverage); issuing tickets; registering attendees; reviewing events; writing reports on events.	Records documenting the planning and impact/results of public events.	Completion of event + 3 years	Director of Marketing	JISC Guidance
Public Events Management			Records documenting the organisation and administration of public events.	Completion of event + 1 year	Director of Marketing	JISC Guidance
Official Visits Management	The activities involved in hosting official visits to the institution.	Activities include: planning programmes/itineraries; arranging venues, catering, security, transport etc.; arranging publicity (e.g. official photography, media coverage); reviewing events; writing reports on events.	Records documenting the organisation and administration of official visits.	Completion of visit + 1 year	Director of Marketing	JISC Guidance
Sponsorship Management	The activities involved in officially sponsoring organisations, individuals or events.	Activities include: identifying sponsorship opportunities; negotiating sponsorship deals.	Records documenting the arrangements for corporate sponsorship of public events by the institution.	Termination of sponsorship + 6 years	Director of Marketing	Limitation Act 1980 c. 58 s 5
Donations Management	The activities involved in making donations to other organisations or individuals.	Activities include: identifying potential recipients for materials which the institution wishes to dispose of by donation; liaising with potential donors; officially transferring donated materials.	Records documenting the management of the institution's relationship with donors to the institution (other than in response to fundraising campaigns).	Duration of relationship + 6 years	Director of Marketing	Limitation Act 1980 c. 58 s 5
Donations Management			Records documenting the process of making donations to third parties.	Last action on donation + 6 years	Director of Marketing	Limitation Act 1980 c. 58 s 5
MEDIA RELATIONS MANAGEMENT						
The function of managing the institution's relationships with the media.						
Media Relations Strategy Development	The activities involved in developing and establishing the institution's media relations strategy.	Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.	Key Records: documenting the development and establishment of the institution's media relations strategy and policies.	Superseded + 5 years	Director of Marketing	JISC Guidance
Media Relations Strategy Development			Working Papers: documenting the development and establishment of the institution's media relations strategy, policies and procedures.	Issue of strategy/policies/procedures + 1 year	Director of Marketing	JISC Guidance

FUNCTION	SCOPE	SCOPE INCLUDES ...	TYPE OF RECORD	RETENTION PERIOD	OWNER OF RECORD	AUTHORITY
Media Relations Procedure Development	The activities involved in developing the institution's procedures for media relations.	Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.	Master copies of procedures relating to media relations.	Superseded + 3 years	Director of Marketing	JISC Guidance
Media Communications Management	The activities involved in managing the institution's communications with and through the media.	Activities include: developing media contacts; arranging media accreditation; organising media briefings and press conferences; writing and issuing press releases; handling media enquiries; arranging media interviews and other contacts with institutional staff; arranging media coverage of events in, or involving, the institution; co-ordinating the institution's participation in media projects (e.g. programme making).	Records documenting the institution's media contacts.	Superseded	Director of Marketing	JISC Guidance
Media Communications Management			Records documenting the planning and organisation of media briefings and interviews.	Date of briefing /interview+ 1 year	Director of Marketing	JISC Guidance
Media Communications Management			Transcripts of media briefings and interviews	Date of briefing/interview + 5 years	Director of Marketing	JISC Guidance
Media Communications Management			Press Releases	Current year + 5 years	Director of Marketing	JISC Guidance
Media Communications Management			Records documenting media enquiries, the internal handling of these enquiries and responses provided.	Last action on enquiry + 3 years	Director of Marketing	JISC Guidance
Media Monitoring	The activities involved in monitoring media coverage of the institution.	Activities include: compiling summaries of media coverage; analysing and preparing reports on media coverage.	Records documenting the monitoring and analysis of media coverage of the institution.	Current year + 5 years	Director of Marketing	JISC Guidance
Media Monitoring			Press cuttings	Creation + 1 year	Director of Marketing	JISC Guidance
HE/FE SECTOR RELATIONS MANAGEMENT						
The function of managing the institution's relationships with organisations in the HE and FE sectors.						
HE/FE Sector Reporting	The activities involved in 1) submitting statistical and other data and reports to HE regulatory bodies 2) receiving data and reports from these bodies for institutional use.	Activities include: conducting internal data collection exercises (where these are not part of routine data collection - see MANAGEMENT INFORMATION COLLECTION, ANALYSIS & REPORTING).	Records documenting the preparation and submission of reports to HE regulatory bodies.	Submission of report + 3 years	Head of Quality Assurance	JISC Guidance
HE/FE Sector Reporting			Records documenting the preparation and submission of reports to FE regulatory bodies.		Head of Hospitality & Tourism	
HE/FE Sector Events Management	The activities involved in organising events specifically for the HE/FE sector.	Activities include: determining dates and times; arranging venues, catering, security, transport etc.; planning programmes; issuing invitations; designing publicity materials (e.g. brochures, posters) and arranging production; designing event materials (e.g. delegate packs, menus) and arranging production; organising publicity (e.g. official photography, media coverage); issuing tickets; registering attendees; reviewing events; writing reports on events.	Records documenting the planning and impact/results of events for the HE sector.	Completion of event + 3 years	Director of Marketing	JISC Guidance
HE/FE Sector Events Management			Records documenting the organisation and administration of events for the HE sector.	Completion of event + 1 year	Director of Marketing	JISC Guidance
HE/FE Sector Representation	The activities involved in representing the institution on HE/FE sector collaborative/representative bodies.	Activities include: establishing and maintaining membership of organisations; representing the institution on committees.	Records documenting the institution's membership of organisations.	Termination of membership + 1 year	Head of Schools	JISC Guidance
HE/FE Sector Representation			Records documenting the institution's participation in the activities of external organisations (including committees).	Termination of involvement + 1 year	Head of Schools	JISC Guidance
HE/FE Sector Collaboration	The activities involved in establishing and managing collaborative relationships with organisations in the HE and FE sectors, in the UK and elsewhere.		Records documenting the establishment of formal contractual relationships between the institution and other HE/FE institutions.	Termination of contractual relationship + 6 years		Limitation Act 1980 c. 58 s 5
COMMUNITY RELATIONS MANAGEMENT						
The function of managing the institution's relationship with its local community.						
Community Relations Strategy Development	The activities involved in developing the institution's community relations strategy.	Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.	Key Records: documenting the development and establishment of the institution's community relations strategy and policies.	Superseded + 5 years	Director of Marketing	JISC Guidance
Community Relations Strategy Development			Working Papers: documenting the development and establishment of the institution's community relations strategy, policies and procedures.	Issue of strategy/policies/procedures + 1 year	Director of Marketing	JISC Guidance
Community Relations Procedure Development	The activities involved in developing the institution's procedures for community relations.	Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.	Master copies of procedures relating to community relations.	Superseded + 3 years	Director of Marketing	JISC Guidance
Community Communications Management	The activities involved in managing the institution's communications with its local community.	Activities include: handling enquiries, suggestions and complaints from members of the local community; conducting community surveys and consultations.	Records documenting enquiries from members of the local community and the responses provided.	Last action of enquiry + 1 year	Director of Marketing	JISC Guidance

FUNCTION	SCOPE	SCOPE INCLUDES ...	TYPE OF RECORD	RETENTION PERIOD	OWNER OF RECORD	AUTHORITY
Community Communications Management			Records documenting unsolicited feedback from members of the local community, the internal handling of this feedback and the responses provided.	Last action on feedback + 1 year	Director of Marketing	JISC Guidance
Community Communications Management			Records documenting the design and conduct of community surveys.	Completion of survey + 3 years	Director of Marketing	JISC Guidance
Community Communications Management			Results of community surveys: individual responses	Completion of analysis of survey responses	Director of Marketing	JISC Guidance
Community Communications Management			Results of community surveys: summaries and analyses of responses	Completion of survey + 3 years	Director of Marketing	JISC Guidance
Community Communications Management			Records documenting complaints from members of the local community, the internal handling of these complaints and the responses provided.	Last action on complaint + 1 year	Director of Marketing	JISC Guidance
Community Events Management	The activities involved in organising <i>events</i> (D1) specifically for the local community.	Activities include: determining dates and times; arranging venues, catering, security, transport etc.; planning programmes; issuing invitations; designing publicity materials (e.g. brochures, posters) and arranging production; designing event materials (e.g. delegate packs, menus) and arranging production; organising publicity (e.g. official photography, media coverage); issuing tickets; registering attendees; reviewing events; writing reports on events.	Records documenting the planning and impact/results of local community events.	Completion of event + 3 years	Director of Marketing	JISC Guidance
Community Events Management			Records documenting the organisation and administration of local community events.	Completion of event + 1 year	Director of Marketing	JISC Guidance
Community Representation	The activities involved in representing the institution in local community organisations.	Activities include: establishing and maintaining membership of organisations; representing the institution in local community organisations.	Records documenting the institution's membership of local community organisations.	Termination of membership + 1 year	Director of Marketing	JISC Guidance
Community Representation			Records documenting the institution's participation in the activities of local community organisations (including committees).	Termination of involvement + 1 year	Director of Marketing	JISC Guidance
ALUMNI RELATIONS MANAGEMENT	The function of managing the institution's relationship with its alumni.					
Alumni Relations Strategy Development	The activities involved in developing and establishing the institution's alumni relations strategy.	Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.	Key Records: documenting the development and establishment of the institution's alumni relations strategy and policies.	Superseded + 5 years	Director of Development	JISC Guidance
Alumni Relations Strategy Development			Workign Papers: documenting the development and establishment of the institution's alumni relations strategy, policies and procedures.	Issue of strategy/policies/procedures + 1 year	Director of Development	JISC Guidance
Alumni Relations Procedure Development	The activities involved in developing the institution's procedures for alumni relations.	Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.	Master copies of procedures relating to alumni relations.	Superseded + 3 years	Director of Development	JISC Guidance
Alumni Records Administration	The activities involved in maintaining accurate records on alumni for the purpose of maintaining the institution's relationship with them.		Records containing personal data on individual alumni.	While current (or likely to be current)	Director of Development	JISC Guidance
Alumni Records Administration			Summary (anonymised) statistical records of alumni	Current year + 10 years	Director of Marketing	JISC Guidance
Alumni Communications Management	The activities involved in managing the institution's communications with its alumni.	Activities include: planning and issuing communications to alumni, both one-off (e.g. notices of new alumni benefits or services) and regular (e.g. magazines); conducting alumni surveys.	Records documenting the design, planning and production of official alumni communications.	Issue of communication + 1 year	Director of Marketing	JISC Guidance
Alumni Communications Management			Alumni communications	Issue + 1 year	Director of Development	JISC Guidance
Alumni Communications Management			Records documenting enquiries from alumni and the responses provided.	Last action on enquiry + 1 year	Director of Development	JISC Guidance
Alumni Communications Management			Records documenting unsolicited feedback from alumni, the internal handling of this feedback and the responses provided.	Last action on feedback + 1 year	Director of Development	JISC Guidance
Alumni Communications Management			Records documenting the design and conduct of alumni surveys.	Completion of survey + 3 years	Director of Development	JISC Guidance
Alumni Communications Management			Results of alumni surveys: individual responses	Completion of analysis of survey responses	Director of Development	JISC Guidance
Alumni Communications Management			Results of alumni surveys: summaries and analyses of responses	Completion of survey + 3 years	Director of Development	JISC Guidance
Alumni Communications Management			Records documenting the handling of complaints from alumni.	Last action on complaint + 3 years	Director of Development	JISC Guidance
Alumni Events Management	The activities involved in organising events for alumni.	Activities include: determining dates and times; arranging venues, catering, security, transport etc.; planning programmes; issuing invitations; designing publicity materials (e.g. brochures, posters) and arranging production; designing event materials (e.g. delegate packs, menus) and arranging production; organising publicity (e.g. official photography, media coverage); issuing tickets; registering attendees; reviewing events; writing reports on events.	Records documenting the planning and impact/results of institutional events for alumni.	Completion of event + 3 years	Director of Development	JISC Guidance

FUNCTION	SCOPE	SCOPE INCLUDES ...	TYPE OF RECORD	RETENTION PERIOD	OWNER OF RECORD	AUTHORITY
Alumni Events Management			Records documenting the organisation and administration of institutional events for alumni.	Completion of event + 1 year	Director of Development	JISC Guidance
Alumni Events Management			Records documenting the administration of financial and other support given to individual alumni organisations.	Current financial year + 1 year	Director of Development	JISC Guidance
Alumni Support	The activities involved in providing support to alumni, both individually and through alumni associations.	Activities include: providing financial and other support to alumni associations; brokering contact with/between individuals.	Records documenting requests from alumni associations for financial or other support, the internal handling of these requests and the responses provided.	Last action on request + 1 year	Director of Development	JISC Guidance
Alumni Support			Records documenting the administration of financial and other support to alumni organisations.	Current financial year + 1 year	Director of Development	JISC Guidance
Alumni Support			Records documenting requests for contact details for alumni, action taken and the responses provided.	Last action on request + 1 year	Director of Development	JISC Guidance
FUNDRAISING						
The function of soliciting funds directly from organisations and individuals, and of managing relationships with donors.						
Fundraising Strategy Development	The activities involved in developing the institution's fundraising strategy.	Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.	Key Records: documenting the development and establishment of the institution's fundraising strategy and policies.	Superseded + 5 years	Director of Development	JISC Guidance
Fundraising Strategy Development			Working Papers: documenting the development and establishment of the institution's fundraising strategy, policies and procedures.	Issue of strategy/policies/procedures + 1 year	Director of Development	JISC Guidance
Fundraising Procedure Development	The activities involved in developing the institution's procedures for fundraising.	Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.	Master copies of procedures relating to fundraising.	Superseded + 3 years	Director of Development	JISC Guidance
Fundraising Campaign Management	The activities involved in undertaking fundraising campaigns.	Activities include: designing fundraising campaigns; establishing fundraising campaign management structures; developing and implementing fundraising projects; communicating with donors; reviewing the effectiveness of campaigns.	Records documenting the design, conduct and summary results of fundraising campaigns.	Last action on campaign + 5 years	Director of Development	JISC Guidance
Fundraising Campaign Management			Records containing details of individual responses to fundraising campaigns.	Completion of analysis of data	Director of Development	JISC Guidance
Donations Management	The activities involved in receiving donations to the institution, and in managing the institution's formal relationships with donors.	Activities include: handling enquiries about donating; establishing mechanisms for donating; organising events for donors; communicating with donors.	Records documenting the handling of enquiries about making donations to the institution.	Last action on enquiry + 1 year	Director of Development	JISC Guidance
Donations Management			Records documenting donations to the institution.	Current year + 5 years	Director of Development	JISC Guidance
GOVERNMENT RELATIONS MANAGEMENT						
The function of managing the institution's relationships with government bodies.						
Government Communications Management	The activities involved in communicating formally with government bodies.	Activities include: liaising with government bodies; requesting information from government bodies; handling requests for information from government bodies.	Records documenting general correspondence with government bodies.	Current year + 5 years	Vice Chancellor	JISC Guidance
Government Communications Management			Records documenting requests for information from government bodies, the consideration of the requests, preparation of responses and the responses provided.	Last action on request + 5 years	Vice Chancellor	JISC Guidance
Government Consultations Management	The activities involved in responding to formal consultations conducted by government bodies.	Activities include: conducting internal consultation processes in order to prepare formal corporate responses.	Records documenting the consideration and preparation of the institution's formal responses to consultations conducted by government bodies (including records of internal consultation processes).	Last action on consultation + 1 year	Vice Chancellor	JISC Guidance
Government Consultations Management			Records documenting the institution's formal responses to consultations conducted by government bodies.	Last action on consultation + 5 years	Vice Chancellor	JISC Guidance
Government Reporting	The activities involved in: 1) preparing and submitting statistical and other data and reports to government bodies 2) receiving and responding to data and reports from government bodies.	Activities include: conducting internal data collection exercises (where these are not part of routine data collection - see MANAGEMENT INFORMATION COLLECTION, ANALYSIS & REPORTING).	Records documenting the preparation and submission of reports to government bodies.	Submission of report + 3 years	Vice Chancellor	JISC Guidance
Government Inquiries/Investigations Management	The activities involved in participating in formal inquiries and investigations conducted by government bodies.	Activities include: liaising with government bodies carrying out inquiries and investigations; providing evidence to assist inquiries and investigations (e.g. by making formal submissions, by providing records or by making staff available).	Records documenting the institution's participation in formal government or public inquiries.	Last action on inquiry + 10 years	Vice Chancellor	JISC Guidance
MARKETING						
The function of marketing the institution.						

FUNCTION	SCOPE	SCOPE INCLUDES ...	TYPE OF RECORD	RETENTION PERIOD	OWNER OF RECORD	AUTHORITY
Marketing Strategy Development	The activities involved in developing and establishing the institution's marketing strategy.	Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.	Key Records: documenting the development and establishment of the institution's marketing strategy and policies.	Superseded + 5 years	Director of Marketing	JISC Guidance
Marketing Strategy Development			Working Papers: documenting the development and establishment of the institution's marketing strategy, policies and procedures.	Issue of strategy/policies/procedures + 1 year	Director of Marketing	JISC Guidance
Marketing Procedure Development	The activities involved in developing the institution's procedures for marketing.	Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.	Master copies of procedures relating to marketing.	Superseded + 3 years	Director of Marketing	JISC Guidance
Market Research	The activities involved in carrying out market research.	Activities include: designing and developing market research tools; planning and conducting data collection; collecting, collating and analysing market research data.	Records documenting the design and development of market research tools.	Completion of research + 5 years	Director of Marketing	JISC Guidance
Market Research			Market research data: data relating to identifiable individuals.	Completion of analysis of data	Director of Marketing	JISC Guidance
Market Research			Market research data: aggregated data and analyses.	Completion of research + 5 years	Director of Marketing	JISC Guidance
Marketing Campaign Management	The activities involved in conducting marketing campaigns.	Activities include: planning marketing campaigns; developing marketing campaigns; implementing marketing campaigns; reviewing marketing campaigns.	Records documenting the design, implementation and review of marketing campaigns.	Completion of campaign + 3 years	Director of Marketing	JISC Guidance
Corporate Identity & Brand Management	The activities involved in managing the institution's corporate identity and brands.	Activities include: designing the institution's corporate identity marks (logos, etc.); controlling use of corporate identity marks; compiling and ensuring use of corporate style guides.	Records documenting the design of the institution's corporate identity marks (logos etc.).	Superseded	Director of Marketing	JISC Guidance
Corporate Identity & Brand Management			Records documenting the development of corporate style guides for official use of corporate identity marks.	Superseded	Director of Marketing	JISC Guidance
Advertising Management	The activities involved in advertising the institution's programmes, facilities and services.	Activities include: designing advertisements; placing advertisement; monitoring the impact of advertisements.	Records documenting the development, placement and impact of advertisements.	Current + 5 years	Director of Marketing	JISC Guidance

FUNCTION	SCOPE	SCOPE INCLUDES ...	TYPE OF RECORD	RETENTION PERIOD	OWNER OF RECORD	AUTHORITY
RELATED COMPANY MANAGEMENT	The function of establishing and managing/supporting Related Company.					
Related Company Formation	The activities involved in forming Related Company.	Activities include: determining the constitution of the company; determining the control framework of the company and formalising the relationship between the institution and the company through a Memorandum of Understanding; appointing a Nominated Officer to act as the link between the institution and the company; where appropriate, drawing up a Shareholders Agreement; validating and approving the company's business plan; ensuring the establishment of an appropriate governance structure and rules for the company; ensuring the establishment of appropriate management structures and operating procedures for the company; ratifying the appointment of directors of the company.	Records documenting the formation of the related company.	Life of company + 10 years	University Secretary	JISC Guidance
Related Company Oversight & Review	The activities involved in reviewing the performance of Related Company.	Activities include: reviewing the performance of the company against its plans, including budgets; ensuring that internal and external audits of the company are carried out and the results reported to the institution; ensuring that proper financial records are being kept by the company, and that proper accounts are prepared; ensuring that the company has proper procedures in place to comply with legislation relevant to its activities and operations.	Records documenting the oversight and periodic review of the performance of the related company.	Current year + 5 years	University Secretary	JISC Guidance
Related Company Exit / Wind-up	The activities involved in disposing of the institution's investment in Related Company OR in winding-up Related Company.		Records documenting the winding-up of the related company or the disposal of the institution's interest in it.	Wind-up/Disposal of company + 6 years	University Secretary	Limitation Act 1980 c. 58 s 5

FUNCTION	SCOPE	SCOPE INCLUDES ...	TYPE OF RECORD	RETENTION PERIOD	OWNER OF RECORD	AUTHORITY
STUDENT SERVICE MANAGEMENT						
The function of providing the student service.						
Student Service Strategy	The activities involved in developing the strategy for the student service.	Activities include: identifying requirements for new / revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.	Key Records: documenting the development and establishment of the institution's student service strategy and policies.	Superseded + 3 years	Head of One Stop Shop	JISC Guidance
Student Service Strategy			Working Papers: documenting the development and establishment of the institution's student service strategy, policies and procedures. Master copies of procedures relating to the student service.	Issue of strategy/policies/procedures + 1 year	Head of One Stop Shop	JISC Guidance
Student Service Procedure Development	The activities involved in developing the institution's procedures for the student service.	Activities include: identifying needs for new / revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.		Superseded + 3 years	Head of One Stop Shop	JISC Guidance
Student Service Operations Management	The activities involved in operating/providing the student service.	The activities involved will depend on the type of service being provided.	TO BE DEFINED BY THE INSTITUTION	TO BE DEFINED BY THE INSTITUTION	Head of One Stop Shop	TO BE DEFINED BY THE INSTITUTION
Student Service Customer Relations Management	The activities involved in establishing and managing relationships with student service customers.	Activities include: handling enquiries; handling customer complaints; conducting customer surveys.	Records documenting enquiries about the student service and the responses provided.	Last action on enquiry + 1 year	Head of One Stop Shop	JISC Guidance
Student Service Customer Relations Management			Records documenting the handling of complaints from customers of the student service.	Last action on complaint + 3 years	University Secretary	JISC Guidance
Student Service Customer Relations Management			Records documenting unsolicited customer feedback on the student service and the responses provided.	Last action on feedback + 3 years	Head of One Stop Shop	JISC Guidance
Student Service Customer Relations Management			Records documenting the design of student service customer surveys and the (anonymised, if necessary) analysis of responses.	Last action on survey + 3 years	Head of One Stop Shop	JISC Guidance
Student Service Customer Relations Management			Individual responses to student service customer surveys.	Completion of analysis of responses	Head of One Stop Shop	JISC Guidance

FUNCTION	SCOPE	SCOPE INCLUDES ...	TYPE OF RECORD	RETENTION PERIOD	OWNER OF RECORD	AUTHORITY
BUSINESS UNIT MANAGEMENT	The function of managing the business unit.					
Work Planning & Scheduling	The activities associated with planning and scheduling the work of the business unit.	Activities include: planning the allocation of resources; scheduling work.	Records documenting work allocation/scheduling (e.g. duty rosters).	Current year	Individual School/Department Responsibility	JISC Guidance
Work Planning & Scheduling			Desk diaries (and similar 'official' work planning/scheduling tools).	Current year + 1 year	Individual School/Department Responsibility	JISC Guidance
Work Monitoring	The activities associated with monitoring and tracking the progress of routine work. The activities associated with holding and administering meetings relating to the work of the business unit.	Activities include: collecting and monitoring statistical and other data; logging transactions. Activities include: arranging meetings; preparing agenda and papers for meetings; organising agenda for meetings; recording minutes of meetings; taking/co-ordinating action to be carried out as a result of decisions made at meetings.	Records documenting the progress of work.	Current year	Individual School/Department Responsibility	JISC Guidance
Meeting Administration			Records documenting the arrangements for meetings.	Date of meeting	Individual School/Department Responsibility	JISC Guidance
Meeting Administration			Records documenting the conduct of meetings: agenda, minutes and supporting papers.	Current year + 3 years	Individual School/Department Responsibility	JISC Guidance
Travel Administration			Records documenting travel arrangements.	Completion of travel + 3 months	Individual School/Department Responsibility	JISC Guidance