

Records Management Project 2015

JISC Retention Schedule, adapted for University use

Schedule 6: Resource Management

The assumption has been made that records disposal is based on a single activity at the end of each academic (AY) or financial year (FY), so unless otherwise stated values refer to **full** academic or financial years, plus the current academic or financial year.

EXAMPLE:

Procurement Records: Selection of Suppliers: Proposals

Recommended Retention Period = Creation +1 Financial Year

Therefore a record of a Supplier Proposal made on 23rd October 2009 should be retained until the end of the financial year 2010-11 (i.e. 31st July 2011).

Note: final column indicates source: J = JISC schedule; U = University schedule

6.1 Procurement

Records	Retention Period	Statutory Demand	Notes	Source
Identification and vetting of potential suppliers	Creation +5 AY	No		J
• Supplier evaluation reports	Creation +5 AY	No		J
• Register of approved suppliers	Active	No		J
Selection of suppliers				
• Invitation to Tender/Tenders/Tender evaluation documentation	Termination of supply contract +6 AY	Yes	Limitation Act 1980	J
• Successful	Creation +1 AY	Yes	Limitation Act 1980	J
• Unsuccessful				J
• Requests for Proposals/Proposals /Proposal evaluation documentation	Termination of supply contract +6 AY	Yes	Limitation Act 1980	J
• Successful	Creation +1 AY	Yes	Limitation Act 1980	J
• Unsuccessful				J

Records	Retention Period	Statutory Demand	Notes	Source
Management of supplier relationships	Termination of relationship + 2 AY	No		J
Supplier files	Termination of relationship + 2 AY	No		J
Monitoring of supplier performance	Termination of contract +6 AY	Yes	Limitation Act 1980	J
Contractor review reports	Termination of contract +6 AY	Yes	Limitation Act 1980	J

6.2 Information Management

Records	Retention Period	Statutory Demand	Notes	Source
Definition of internal information needs and formulation of plans to meet these needs	Permanent	No		J
<ul style="list-style-type: none"> Information Strategy 	Permanent	No		J
Co-ordination of internal information production and dissemination	Creation +2 AY	No		J
Development of information systems	Active	No		J
Identification of ownership of business critical data, and planning and implementation of appropriate measures to ensure that this data is maintained to guarantee its accuracy and reliability	Active	No		J

6.3 Information & Library Service Management

Records	Retention Period	Statutory Demand	Notes	Source
Service delivery	Creation +6 AY		British Library requirement	J
Inter-library loan forms	Creation +6 AY		British Library requirement	J
Enquiry forms	Completion of request +1 AY		British Library requirement	J

Loans record/database	Active		British Library requirement	J
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6.4 IT Operations Management

Records	Retention Period	Statutory Demand	Notes	Source
Specification of functional and technical requirements for IT hardware, software and networks	Active	No		J
<ul style="list-style-type: none"> Functional specifications 	Active	No		J
<ul style="list-style-type: none"> Technical specifications 	Active	No		J
Installation, testing and operation of hardware, software and networks	Creation + 5 AY	No		J
<ul style="list-style-type: none"> Test reports 	Creation +5 AY	No		J
<ul style="list-style-type: none"> Operating logs 	Creation +5 AY	No		J
Operation of data backup and archiving routines	Creation +1 AY	No		J
<ul style="list-style-type: none"> Backup schedules 	Creation +1 AY	No		J
<ul style="list-style-type: none"> Archiving schedules 	Creation +1 AY	No		J

6.5 IT System Development

Records	Retention Period	Statutory Demand	Notes	Source
Design, development and implementation of IT systems	Decommissioning of system +5 AY	No		J

6.6 Records Management

Records	Retention Period	Statutory Demand	Notes	Source
Determination of retention periods for institutional records	Active +10 AY	No		J
Records Retention Authorisations	Active +10 AY	No		J
Records Retention Schedules	Active +10 AY	No		J

Records	Retention Period	Statutory Demand	Notes	Source
Selection of records for permanent preservation as the institution's historical	Permanent	No		J
Transferring inactive records to off-site storage	Active +10 AY	No		J
Records Transmittal Lists	Active +10 AY	No		J
Authorising destruction of time-expired records	Creation +10 AY	No		J
Destruction Authorisation Lists	Creation +10 AY	No		J
Records Destruction Schedules	Creation +10 AY	No		J

6.7 Archives Management

Records	Retention Period	Statutory Demand	Notes	Source
Acquisition of records	Permanent	No		J
Accessions Register	Permanent	No		J
Depositor/Donor agreements	Termination of agreement +6 AY	No		J
Storage of archives	Active	No		J
<ul style="list-style-type: none"> Location Register 	Active	No		J
Promotion of archives	Permanent	No		J
<ul style="list-style-type: none"> Guides Catalogues Exhibition materials 	Permanent Permanent Permanent	No No No		J J J
Provision of access to the records	Creation +5 AY	No		J
User Register	Last use +2 AY	No		J
Enquiry records	Creation +2 AY	No		J
Records of loans	Active +5 AY	No		J
Production/issue records	Creation +1 AY	No		J
Undertaking conservation work on archives	Permanent	No		J
<ul style="list-style-type: none"> Conservation Register 	Permanent	No		J

6.8 Collections Management

Records	Retention Period	Statutory Demand	Notes	Source
Acquisition of collections	Permanent	No		J
Accessions Register	Permanent	No		J
Depositor/Donor agreements	Termination of agreement +6 AY	No		J
Organisation of collections	Active	No		J
Catalogues	Active	No		J
Indexes	Active	No		J
Storage of collections	Active	No		J
• Location Register	Active	No		J
Provision of access to the records	Creation +5 AY	No		J
User Register	Last use +2 AY	No		J
Enquiry records	Creation +5 AY	No		J
Records of loans	Active +5 AY	No		J
Production/issue records	Creation +1 AY	No		J
Obtaining accreditation from external bodies	Creation +5 AY	No		J
Promotion of the collections as a research resource	Permanent	No		J
Undertaking conservation work on collections	Permanent	No		J
• Conservation Register	Permanent	No		J

6.9 Resource Management

Records	Retention Period	Statutory Demand	Notes	Source
Lettings of student accommodation	Termination of agreement +6 AY	Yes	Limitation Act 1980	J
Accommodation Booking forms	Termination of agreement +6 AY	Yes	Limitation Act 1980	J
Accommodation lists	Active	No		J
Accommodation fees register	Current Financial Year +6 FY	No		J
Hiring out of conference and banqueting facilities	Termination of agreement +6 AY	Yes	Limitation Act 1980	J
Private hire agreements	Termination of agreement +6 AY	Yes	Limitation Act 1980	J

6.10 Catering Service Management

Records	Retention Period	Statutory Demand	Notes	Source
Definition of catering requirements and evaluation of options for catering provision	Creation +5 AY	No		J
Design and delivery of catering services	Creation +2 AY	No		J
Menu plans	Creation +2 AY	No		J
Event plans	Creation +2 AY	No		J

6.11 Estates & Premises Management

Records	Retention Period	Statutory Demand	Notes	Source
Management of the legal aspects of ownership and occupancy	Disposal of property	No		J
Title deeds	Disposal of property	No		J
Leases	Disposal of property	No		J
Mortgages deeds	Termination of mortgage +6 AY	No		J
Planning applications	Disposal of property	No		J
Fire inspection reports	Creation +5 AY	No		J
Fire certificates	Active	No		J
Building plans/drawings	Disposal of property	No		J

6.12 Risk Assessment

Records	Retention Period	Statutory Demand	Notes	Source
Assessments of risks	Review of assessment +3 AY	Yes	Management of Health and Safety at Work Regulations 1992	J
Risk Assessment Reports		Yes		J

Records	Retention Period	Statutory Demand	Notes	Source
	Review of assessment +3 AY		Workplace Health, Safety and Welfare Regulations 1992 Provision and Use of Work Equipment Regulations 1992 Manual Handling Operations Regulations 1992 Health and Safety Display Screen Equipment Regulations 1992 Noise at Work Regulations 1989 Control of Substances Hazardous to Health Regulations 1994	
Monitoring of working environments	Creation +40 AY	Yes	Health and Safety Display Screen Equipment Regulations 1992	J
Monitoring Reports	Creation +40 AY	Yes	Noise at Work Regulations 1989 Control of Substances Hazardous to	J

Records	Retention Period	Statutory Demand	Notes	Source
			Health Regulations 1994 Health and Safety Display Screen Equipment Regulations 1992 Noise at Work Regulations 1989 Control of Substances Hazardous to Health Regulations 1994	

6.13 Hazardous Exposure Control

Records	Retention Period	Statutory Demand	Notes	Source
Control of handling and use of hazardous substances	Active	Yes	Control of Substances Hazardous to Health Regulations 1994	J
COSHH Data Sheets	Active +40 AY	Yes	Control of Substances Hazardous to Health Regulations 1994	J
Control of access to hazardous areas	Creation +3 AY	No		J
Permits to Work	Creation +3 AY	No		J
Monitoring of the health of employees	Creation +40 AY	Yes	Health and Safety Display Screen Equipment Regulations 1992	J
Health Surveillance Reports	Creation +40 AY	Yes		J

			Control of Substances Hazardous to Health Regulations 1994	
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6.14 Accident/Dangerous Occurrence Monitoring

Records	Retention Period	Statutory Demand	Notes	Source
Reporting and investigation if accidents and dangerous occurrences	Date of accident +40 AY	Yes	Limitation Act 1980 + case law	J
Accident books	Completion of book +3 AY	Yes	Health and Safety at Work Act 1974	J
Accident Report Form F2508 (Reportable accidents and dangerous occurrences)	Date of entry +3 AY	Yes	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995	J
Accident reports	Date of occurrence +3 AY	Yes	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995	J
Dangerous occurrence reports	Date of occurrence +3 AY	Yes	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995	J

6.15 Insurance Management

Records	Retention Period	Statutory Demand	Notes	Source
Maintenance of insurance policies	Termination of policy +6 AY	Yes	Limitation Act 1980	J
Insurance policies	Termination of policy +6 AY	Yes	Limitation Act 1980	J
Filing of claims against insurance policies	Settlement of claim +6 AY	Yes	Limitation Act 1980	J
Insurance Claims	Settlement of claim +6 AY	Yes	Limitation Act 1980	J

Inspection reports	Settlement of claims +6 AY	Yes	Limitation Act 1980	J
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6.16 Plant & Equipment Maintenance

Records	Retention Period	Statutory Demand	Notes	Source
Conduct of testing, maintenance and statutory inspections, and any necessary corrective action	Life of plant/equipment +6 AY	Yes	Limitation Act 1980	J
Maintenance schedules	Creation +2 AY	No		J
Corrective action schedules	Creation +2 AY	No		J
Inspection certificates	Creation +6 AY	No		J
Maintenance certificates	Life of plant/equipment +6 AY	Yes	Limitation Act 1980	J
Repair reports	Life of plant/equipment +6 AY	Yes	Limitation Act 1980	J

6.17 Waste Management

Records	Retention Period	Statutory Demand	Notes	Source
Categorising and disposing of waste	Creation +2 AY	Yes	Waste Management Licensing Regulations 1994	J
Controlled Waste Transfer Note	Creation +2 AY	No		J
Written description of waste	Creation +3 AY	Yes	Special Waste Regulations 1996	J
Special Waste Consignment Note	Creation +3 AY	No		J

6.18 Internal Services

Records	Retention Period	Statutory Demand	Notes	Source
Allocation and reservation of accommodation	Date of booking	No		J
Room booking reports	Date of booking	No		J

Records	Retention Period	Statutory Demand	Notes	Source
Despatch and delivery of mail	Creation +3 months	No		J
Courier logs	Creation +3 months	No		J
Postage logs	Creation +3 months	No		J
Booking of vehicles	Creation +3 months	No		J
Taxi booking logs	Creation +3 months	No		J
Pool car requisitions	Creation +3 months	No		J
Allocation and reservation of car parking spaces	Creation +3 months	No		J
Parking logs	Creation +3 months	No		J
Parking reservation requests	Date of reservation	No		J
Provision of document production services	Completion of job +3 months	No		J
Print/production requisitions	Completion of job +3 months	No		J

6.19 Security Management

Records	Retention Period	Statutory Demand	Notes	Source
Control of access to institutional premises, facilities and IT systems	Creation +3 months	No		J
Key issue/return logs	Creation +3 months	No		J
Visitors logs	Creation +3 months	No		J
Access logs	Creation +3 months	No		J
Controlling removal of institutional property	Creation +3 months	No		J
Property removal permits	Creation +3 months	No		J

6.20 Manpower Planning

Records	Retention Period	Statutory Demand	Notes	Source
Definition of staffing requirements and	Permanent	No		J

evaluation of employment options				
Manpower Plans	Permanent	No		J
Planning promotions and management succession	Permanent	No		J
Management Succession Plan	Permanent	No		J

6.21 Staff Performance Appraisal & Development

Records	Retention Period	Statutory Demand	Notes	Source
Appraising the performance of individual members of staff	Creation +3 AY	No		J
Performance Appraisal reports	Creation +3 AY	No		J
Conduct of disciplinary proceedings against staff	Settlement of case +6 AY	Yes	Limitation Act 1980	J
Staff disciplinary case files	Settlement of case +6 AY	Yes	Limitation Act 1980 (Unless merged with Staff Personal File. See Staff Administration)	J

6.22 Industrial Relations

Records	Retention Period	Statutory Demand	Notes	Source
Development and maintenance of productive working relationships with trade unions	Permanent	No		J
Liaison with trade unions on proposed changes to staffing structures and other relevant matters	Permanent	No		J
Negotiation with unions regarding pay and conditions	Permanent	No		J

6.23 Staff Training & Development

Records	Retention Period	Statutory Demand	Notes	Source
Identification and assessment of training needs	Creation +10 AY	No		J
Training Needs Analysis	Creation +10 AY	No		J

Records	Retention Period	Statutory Demand	Notes	Source
Identification, evaluation and selection of training programmes	Active	No		J
Advertisement of training opportunities	Creation +1 AY	No		J
• Notices	Creation +1 AY	No		J
Design and commissioning of new training programmes	Active +5 AY	No		J
Review of training programmes, and assessment of their impact	Creation +2 AY	No		J
Course evaluation forms	Creation +2 AY	No		J
Training feedback reports	Creation +2 AY	No		J

6.24 Job Evaluation

Records	Retention Period	Statutory Demand	Notes	Source
Definition of jobs	Active +5 AY	No		J
Job descriptions	Active +5 AY	No		J
Assessment of jobs in relation to established jobs	Active +5 AY	No		J
Job evaluation reports	Active +5 AY	No		J

6.25 Staff Administration

Records	Retention Period	Statutory Demand	Notes	Source
Maintenance of individual staff records	Retirement date +6 AY	Yes	Limitation Act 1980	J
Staff Personal Files	<i>Minimum :</i> Termination of employment + 6 AY <i>Advisory :</i> Retirement date + 6 AY		Continuing residual relationship throughout the working life	
Provision of information to/about current/former staff	Creation +2 AY	No		J
Requests for Access to Information	Completion of request +1 AY	No		J

6.26 Recruitment

Records	Retention Period	Statutory Demand	Notes	Source
Authorisation of recruitment	Creation +1 AY	No		J
Authorisation to recruit forms	Creation +1 AY	No		J
Advertising of vacancies <ul style="list-style-type: none"> Advertisement Recruitment Agency Brief 	Filling of vacancy +6 months Filling of vacancy +6 months	Yes	Sex Discrimination Act 1975/1986 Race Relations Act 1976 Disability Discrimination Act 1995	J J J
Reviewing and shortlisting of applications	Creation +5 AY	No		J
Job applications: <ul style="list-style-type: none"> Successful Unsuccessful Ethnic Monitoring Questionnaires/Reports 	Transfer to Staff Personal File: See Staff Administration Filling of vacancy +6 months Creation +5 AY	Yes	Sex Discrimination Act 1975/1986 Race Relations Act 1976 Disability Discrimination Act 1995	J
Selection of staff: <ul style="list-style-type: none"> Interview notes Test results References Unsuccessful candidates 	Filling of vacancy +6 months	Yes	Sex Discrimination Act 1975/1986 Race Relations Act 1976 Disability Discrimination Act 1995	J

<ul style="list-style-type: none"> Successful candidates 	Transfer to Staff Personal File: See Staff Administration			
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6.27 Employee Relations

Records	Retention Period	Statutory Demand	Notes	Source
Monitoring of the impact of employment policies on recruitment and retention of staff	Creation +5 AY	No		J
Staff attitude surveys	Creation +5 AY	No		J
Exit interview reports	Creation +5 AY	No		J
Communication with staff	Permanent	No		J
Staff handbook/manual	Permanent	No		J
Staff newsletters	Permanent	No		J

[6.27A Human Resources Records in Faculties and Departments]

All master copies of documents are held in Human Resources Department.

It is recommended, however, that Faculty/Department copies of the following should be held for the following period:

Records	Retention Period	Statutory Demand	Notes	Source
Staff personal file	For 6 years after their association with the department ends			U
IPR	For 5 years from creation of the document			U
Leave slip	2 calendar years plus current calendar year			U
Timesheet	2 calendar years plus current calendar year			U
Annual leave card	3 calendar years plus current calendar year			U
Sick notes	3 calendar years plus current calendar year			U
Return to work form	3 calendar years plus current calendar year			U
Sickness self-certification	3 calendar years plus current calendar year			U
Absence return	2 calendar years plus current calendar year			U

6.28 Financial Planning

Records	Retention Period	Statutory Demand	Notes	Source
Preparation of financial forecasts	Current Financial Year +3 FY	No		J
Financial forecasts	Current Financial Year +3 FY	No		J
Preparation of capital and revenue budgets	Current Financial Year +3 FY	No		J
Budgets	Current Financial Year +3 FY	No		J

6.29 Pension Fund Administration

Records	Retention Period	Statutory Demand	Notes	Source
Maintenance of personal pension records	Termination of employment +75 AY	No		J
Staff Pension Files	Termination of employment +75 AY	No		J

Financial Records

Note: Although JISC recommend *Creation + 6 Financial Years* for the majority of the following categories, it has long been the accepted practice at the University to retain the same records for *Current Financial Year + 6 Financial Years*. The Source column remain J=JISC.

6.30 Purchasing

Records	Retention Period	Statutory Demand	Notes	Source
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Authorisation of purchasing	Current Financial Year +1 FY	No		J
Purchase requisitions	Current Financial Year +1 FY	No		J
Placing of orders	Creation +6 FY	Yes	Value Added Tax Act 1994	J
Purchase Orders	Creation +6 FY	Yes	Value Added Tax Act 1994	J
Taking delivery of goods and services	Creation +6 FY	Yes	Value Added Tax Act 1994	J
Delivery notes	Creation +6 FY	Yes	Value Added Tax Act 1994	J
Goods received notes	Creation +6 FY	Yes	Value Added Tax Act 1994	J

6.31 Payroll Administration

Records	Retention Period	Statutory Demand	Notes	Source
Processing of non-statutory deductions from salaries and wages	Current Tax Year +6 TY (<i>Tax Year</i>)	No		J
Deduction authorisations	Current Tax Year +6 TY	No		J
Tax Code notices	Active +3 TY	No		J
Making payroll payments	Current Tax Year +6 TY	Yes	Limitation Act 1980	J
Salary Advices	Current Tax Year +3 TY	Yes	Income Tax (Employment) Regulations 1993	J
Bank Transfer Reports	Current Tax Year +6 TY	Yes	Limitation Act 1980	J
Notifying staff of their employment-related tax liabilities	Current Tax Year +6 TY	No		J

6.32 Financial Accounting

Records	Retention Period	Statutory Demand	Notes	Source
Accounting for income	Creation +6 AY	Yes	Value Added Tax Act 1994	J
Sales invoices	Creation +6 AY	Yes	Value Added Tax Act 1994	J
Sales ledgers	Creation +6 AY	Yes	Value Added Tax Act 1994	J
Credit notes	Creation +6 AY	Yes	Value Added Tax Act 1994	J
Till rolls	Creation +6 AY	Yes	Value Added Tax Act 1994	J
Remittance advices	Creation +6 AY	Yes	Value Added Tax Act 1994	J
Statements	Current Financial Year +1 FY	No		J
Accounting for expenditure	Creation +6 AY	Yes	Value Added Tax Act 1994	J
Purchase invoices	Creation +6 AY	Yes	Value Added Tax Act 1994	J
Payment authorisations	Creation +6 AY	Yes	Value Added Tax Act 1994	J
Credit notes	Creation +6 AY	Yes	Value Added Tax Act 1994	J
Purchases ledgers	Creation +6 AY	Yes	Value Added Tax Act 1994	J
Cheque authorisations	Creation +6 AY	Yes	Value Added Tax Act 1994	J
BACS reports	Creation +6 AY	Yes	Value Added Tax Act 1994	J
Staff expense claims	Creation +6 AY	Yes	Value Added Tax Act 1994	J
Petty cash authorisations	Creation +6 AY	Yes	Value Added Tax Act 1994	J
Petty Cash receipts	Creation +6 AY	Yes	Value Added Tax Act 1994	J
Petty cash books	Creation +6 AY	Yes	Value Added Tax Act 1994	J
Journal vouchers	Creation +6 AY	Yes	Value Added Tax Act 1994	J

6.33 Management Accounting

Records	Retention Period	Statutory Demand	Notes	Source
Management Accounts	Permanent	No		J
Annual accounts	Permanent	No		J
Monthly/Quarterly accounts	Creation +1 AY	No		J

6.34 Cash Management

Records	Retention Period	Statutory Demand	Notes	Source
Management of bank accounts	Creation +6 AY	Yes	Value Added Tax Act 1994	J
Bank Paying-in Slips	Creation +6 AY	Yes	Value Added Tax Act 1994	J
Bank statements	Creation +6 AY	Yes	Value Added Tax Act 1994	J
Cancelled cheques	Creation +6 AY	Yes	Value Added Tax Act 1994	J

6.35 Capital Asset Management

Records	Retention Period	Statutory Demand	Notes	Source
Maintaining asset registers <ul style="list-style-type: none"> Capital Asset Registers Major items Other items 	Permanent Permanent Disposal of asset +12 AY	Yes	Limitation Act 1980	J
Controlling the official movement of assets	Current Financial Year +1 FY	No		J
Asset Disposal Authorisation forms	Current Financial Year +1 FY	No		J

6.36 Internal Accounting

Records	Retention Period	Statutory Demand	Notes	Source
Processing of internal accounting transactions	Current Financial Year +1 FY	No		J
Cross-charge requests	Current Financial Year +1 FY	No		J
Cross-charge reports	Current Financial Year +1 FY	No		J

6.37 Budget Administration

Records	Retention Period	Statutory Demand	Notes	Source
Monitoring of actual against planned expenditure	Current Financial Year +1 FY	No		J
Budget reports	Current Financial Year +1 FY	No		J

6.38 Investment Management

Records	Retention Period	Statutory Demand	Notes	Source
Acquisition/disposal of investments	Permanent	No		J
Investment instructions	Creation +6 AY	Yes	Limitation Act 1980	J
Share Certificates	Disposal of shares +6 AY	Yes	Limitation Act 1980	J
Investment portfolio reports	Permanent	No		J

6.39 Tax Management

Records	Retention Period	Statutory Demand	Notes	Source
Assessment of tax liabilities	Current Tax Year +6 TY	Yes	Value Added Tax Act 1994	J
VAT account	Current Tax Year +6 TY	Yes	Value Added Tax Act 1994	J
Submission of tax returns	Current Tax Year +6 TY	Yes	Value Added Tax Act 1994	J
VAT return	Current Tax Year +6 TY	Yes	Value Added Tax Act 1994	J

6.40 Intellectual Property Management

Records	Retention Period	Statutory Demand	Notes	Source
Registration of patents and trade marks	Permanent	No		J
Patent applications (Specification, Claims, Abstract, Patent Office forms)	Permanent	No		J
Patent Certificates of Grant	Permanent	No		J
Trade Mark Certificates	Permanent	No		J
Control of disclosure of intellectual property	Disclosure +6 AY	Yes	Limitation Act 1980	J
Disclosure authorisation forms	Disclosure +6 AY	Yes	Limitation Act 1980	J
Administration of intellectual property agreements	Termination of agreement +6 AY	Yes	Limitation Act 1980	J
Agreements	Termination of agreement +6AY	Yes	Limitation Act 1980	J
Claims of infringement of intellectual property rights	Settlement of claim +6 AY	Yes	Limitation Act 1980	J