



Records Management Procedure and Schedules

Date of Most Recent Review: August 2010
Date of Next Review: August 2013
Responsibility: Assistant Principal

Please ask if you, or someone you know, would like this document in a different format or language.

The following checklists and forms will assist line managers in managing the records within their own sections.

Key information records including the responsible line manager and the associated retention periods are listed at Appendix B.

Disposal of records should be recorded by the relevant line manager using the form at Appendix A.

The records management process to be followed can be detailed in the following four stages:

1. Conduct an Inventory

- Identifying each type of information
- Distinguish the original from copies to avoid duplication
- Establish location, volume and ownership
- Identify retention obligations – statutory or otherwise
- Review existing retention practice (are records currently being retained too long)

2. Analysis and Decision

- Analyse the inventory information.
- Establish realistic retention periods.
- Retention decisions should be made by managers, in consultation with each other and in accordance with the guide to retention periods

3. Storage

- Confirm storage arrangements allow accessibility to the information commensurate with its frequency of use.
- Ensure location is secure.
- Ensure environmental conditions meet fire regulations and health and safety legislation and any other standard which would prevent damage to the records.

4. Appraisal and Permanent Preservation /Destruction

- At the end of the retention period, the relevant manager is to appraise and decide if the record merits permanent preservation, further retention period or destruction and to record this decision.
- All destruction to be authorised by the relevant manager and recorded, following check on any current Freedom of Information requests, ongoing or imminent audit.

APPENDIX B – Records Retention Periods

Description of Records	Retention Periods	Comments e.g. refer to statutory requirements
CORPORATE MANAGEMENT		
Responsible Person: <u>PA to the Principal</u>		
a) Planning		
1. Strategic Plans	1. Current + 3 years	
2. Operational Plans	2. Current + 3 years	
3. Committee agenda, papers and minutes	3. Current + 3 years	
b) SFC		
1. Correspondence	1. Current + 5 years	
2. Funding	2. Current + 3 years	
3. Returns	3. Current + 3 years	
c) UHI		
1. Correspondence	1. Current + 3 years	
d) HMIE		
1. Review Documentation	1. Current + 5 years	
e) Contracts/licences		
1. Current + 1 year	1. Current + 1 year	
f) Miscellaneous Correspondence		
1. Enquiries/complaints etc	1. Current + 3 years	
g) Examinations (incl UHI Exams Centre)		
1. Registrations	1. Current + 1 year	
2. Estimates	2. Current	
3. Attendance Registers	3. Current + 4 years	
4. Exam Papers		

<ul style="list-style-type: none"> 5. Results Lists 6. AAA Information 7. Timetables 8. Fee Payments 9. Invigilator timesheets 10. Invoice requests (UHI EC) 11. Appeals Information 12. Exam Scripts 13. Exam Board Regulations (all) 	<ul style="list-style-type: none"> 4. Current + 4 years 5. Current + 4 years 6. Current 7. Current 8. Current 9. Current + 1 year 10. Current + 4 years 11. Current + 4 years 12. Current + 4 years 13. Current 	
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Description of Records	Retention Periods	Comments e.g. refer to statutory requirements
<p>CORPORATE MANAGEMENT</p> <p>Responsible Person: <u>Director Of Finance</u></p> <p>a) Insurance</p> <ol style="list-style-type: none"> 1. Insurance Policies 2. Annual Renewal Agreement 3. General Correspondence <p>1. Business Continuity Plan</p> <p>b) SFC</p> <ol style="list-style-type: none"> 1. Circulars 2. Correspondence 3. AEF Funding <p>c) UHI</p> <ol style="list-style-type: none"> 1. HEF Funding <p>d) Projects</p> <p>e) Audit</p> <ol style="list-style-type: none"> 1. Correspondence to External Auditors 2. Correspondence to Internal Auditors 	<ol style="list-style-type: none"> 1. Current policy + 6 years 2. Current + 3 years 3. Current + 3 years <p>1. Current version</p> <ol style="list-style-type: none"> 1. Current + 3 years 2. Current + 3 years 3. Current + 3 years <p>1. Current + 3 years</p> <p>1. Retained as long as Project operational</p> <ol style="list-style-type: none"> 1. Term of Appointment + 1 year 2. Term of Appointment + 1 year 	

Description of Records	Retention Periods	Comments e.g. refer to statutory requirements
<p>CORPORATE MANAGEMENT</p> <p>Responsible Person: <u>Clerk to the Board</u></p> <p>a) Governance</p> <ol style="list-style-type: none"> 1. Board members – application forms 2. Register of Interests for Board Members 3. Constitution for Board of Management 4. Standing Orders and Operating Guidelines 5. Code of Conduct 6. Training records for Board members 7. Agendas and Reports for Board of Management and Committees 8. Minutes for Board of Management and Committees 9. Correspondence from ASC <p>b) UHI</p> <ol style="list-style-type: none"> 1. Correspondence for Board of Management 	<ol style="list-style-type: none"> 1. Duration of membership + 2 years 2. Duration of Membership + 2 years 3. Current version 4. Current version 5. Current version 6. Duration of membership + 2 years 7. Current + 5 years 8. Permanent from 2000 9. Current + 3 years <ol style="list-style-type: none"> 1. Current + 3 years 	

Description of Records	Retention Periods	Comments e.g. refer to statutory requirements
<p>CORPORATE MANAGEMENT</p> <p>Responsible Person: <u>Assistant Principal</u></p> <p>a) Child Protection Correspondence</p> <p>b) Freedom of Information Correspondence</p>	<p>Current + 5 years</p> <p>Live requests + 3 years</p>	

ESTATES

Responsible Person: Director of Finance

a) General

1. College Titles (for buildings)
2. Site Plans
3. Estates Strategy
4. Accommodation Schedules
5. Capital Project Documentation
6. Project Safety File
7. SFC funding allocation/Returns
8. UHI funding allocation/Returns
9. E-mandate Returns

1. Permanent until disposal of property
2. Permanent until disposal of property
3. Current version
4. Current version
5. End of defects liability period + 10 years
6. Permanent
7. Current + 3 years
8. Current + 3 years
9. Current + 1 year

b) Contracts

1. Tender documentation
2. Tender Documents – successful tenderer
3. Tender Documents- unsuccessful tenderers
4. Term Contractors inc. Ins & H&S details
5. Planning/Building Warrants
6. Lease Agreements
7. Documents including photographs of key institutional importance
8. Agreements with other colleges and stakeholders
9. General Correspondence

1. Duration of Project + 3 years
2. Termination of Contract + 3 years
3. Current year +1 year
4. Current + 3 years
5. Permanent
6. Permanent
7. Permanent
8. Termination of Agreement + 3 years
9. Current + 3 years

c) Health and Safety

1. Health & Safety Policy
2. Student Placement Policy
3. Insurance Certificates (Employers Liability)
4. Accident and /dangerous occurrence reports/investigation documentation
5. Assessments under Health and Safety Regulations and the records of consultations with safety representatives and committees

1. Current version
2. Current version
3. 40 years
4. Permanent
5. Permanent

Description of Records	Retention Periods	Comments e.g. refer to statutory requirements
FINANCE		
Responsible Person: <u>Director of Finance</u>		
a) Risk Management <ol style="list-style-type: none"> 1. Risk Register 2. Risk Management Group – records of meetings, e.g. agenda, minutes 	<ol style="list-style-type: none"> 1. Current + 3 years 2. Current + 3 years 	
b) Payroll <ol style="list-style-type: none"> 1. Staff Timesheets evidencing project activity 2. Staff Payroll and Hourly Rate Information 3. Request for Additional Staff Resources 4. Staff Travel Claim forms for project activity 5. Statutory Maternity Pay Records, Calculations (MAT B1s) or other medical evidence 6. Statutory Sick Pay Records, calculations, SSP1 forms 7. Wage/salary records (also overtime, bonus and expenses) 8. PAYE, NI, Pension Records 	<ol style="list-style-type: none"> 1. Current + 6 years 2. Current + 6 years 3. Current + 6 years 4. Current + 6 years 5. Current + 6 years 6. Current + 6 years 7. Current + 6 years 8. Current + 6 years 	
c) Income & Expenditure <ol style="list-style-type: none"> 1. Supplier/Purchase Ledger Statements 2. New Supplier Details (inc. Bank Details) 3. Weekly payment run (BACS/Cheque) paperwork 4. BACS/Cheque remittance sent to suppliers 	<ol style="list-style-type: none"> 1. Current + 6 years 2. Current + 6 years 3. Current + 6 years 4. Current + 6 years 	

5. Bank details of suppliers previously paid by Cheque	5. Current + 6 years	
6. Daily update from Unit-e to APTOS	6. Current + 6 years	
7. Debt files	7. Current + 6 years	
8. Monthly Bank Reconciliation files	8. Current + 6 years	
9. Cash Sheets/Telebanking files	9. Current + 6 years	
10. Petty Cash files	10. Current + 6 years	
11. Completed Daily Payment Vouchers (record of manual cheques issued)	11. Current + 6 years	
12. Budget working papers	12. Current + 6 years	
13. Cash flow working papers	13. Current + 6 years	
14. Funding Council returns	14. Current + 6 years	
15. Statistical returns	15. Current + 6 years	
16. Year end Accounts working papers	16. Current + 6 years	
17. VAT returns	17. Current + 6 years	
18. Reclaimed VAT paperwork	18. Current + 6 years	
19. Virements	19. Current + 6 years	
20. Journal File	20. Current + 6 years	
21. Bank Statements	21. Current + 6 years	
22. Annual Budget – status reports	22. Current year + 2 years	
23. Reports/claims to UHI	23. Current year + 2 years	
24. Purchasing Card details include: course fees, travel, accommodation, purchases	24. Current + 3 years	

Description of Records	Retention Periods	Comments e.g. refer to statutory requirements
<p>EXTENDED LEARNING SUPPORT</p> <p>Responsible Person: <u>Learning Support Co-ordinator</u></p> <p>1. Personal Learning Support Plan containing:</p> <ul style="list-style-type: none"> (i) School Reports (ii) Medical Reports (iii) Psychologist Reports (iv) DSA/SAAS Funding Reports <p>2. Study Support Folder</p>	<p>1.</p> <ul style="list-style-type: none"> (i) Current year + 5 years (ii) Current year + 5 years (iii) Current year + 5 years (iv) Current year + 5 years <p>2. Current year + 5 years</p>	

Description of Records	Retention Periods	Comments e.g. refer to statutory requirements
<p>STUDENT FINANCE</p> <p>Responsible Person: <u>Student Finance Officer</u></p> <ol style="list-style-type: none"> 1. Student Interview Sheet 2. Student Funding Application Forms FE 3. Student Funding Application Forms HE 4. Beneficiary Application forms (including Travel and Childcare Declaration forms, copies of Bursary and SAAS awards letters) 5. Correspondence to Beneficiaries 6. Student payments direct debits 7. BACS Printouts to prove processing of Beneficiary payment (if applicable) 	<ol style="list-style-type: none"> 1. Current + 3 years 2. Current + 6 years 3. Current + 6 years 4. Current + 6 years 5. Current + 6 years 6. Current + 6 years 7. Current + 6 years 	

Description of Records	Retention Periods	Comments e.g. refer to statutory requirements
<p>REGISTRY</p> <p>Responsible Person: <u>Registry Officer</u></p> <ol style="list-style-type: none"> 1. Application forms 2. Enrolment forms 3. Fee Waiver forms 4. Copy of Fee Waiver evidence 5. References 6. Copy of previous qualifications 7. Response Slips (from letters sent from the College to the student – mainly course acceptable) 8. Withdraw/Transfer forms 9. Change of Address/personal Details form 10. Letter from Employers (Fees) 11. Attendance Registers 12. Assessments Registers 13. Initial Registers/Course Planning Documents 14. ILA Funded Course Records 15. Disclosure Scotland 16. Progression Board Records 17. Graduation Listings 18. Student Absence Forms 19. Student Work/Assessment Submission Forms 	<ol style="list-style-type: none"> 1. Current + 3 years 2. Current + 5 years 3. Current + 5 years 4. Current + 5 years 5. Current + 3 years 6. Current + 3 years 7. Current + 1 years 8. Current + 5 years 9. Current + 5 years 10. Current + 5 years 11. Current + 5 years 12. Current + 3 years 13. Current + 3 years 14. Current + 7 years 15. 90 days following receipt 16. Current + 7 years 17. Current + 7 years 18. Current + 1 year 19. Current + 1 year 	

Description of Record	Retention Period	Comments e.g. refer to statutory requirements
<p>HUMAN RESOURCES</p> <p>Responsible Person: <u>Head Of HR</u></p> <p>a) Personal Files</p> <ol style="list-style-type: none"> 1. Contractual information 2. Job Description 3. New Start information (H&S Receipt, Personal Details etc) 4. References 5. Application form and supporting documentation 6. Annual leave sheets 7. Sickness absence and occupational health records 8. Staff review documentation 9. Conduct records (removed from personal file once spent) 10. Grievance records 11. Termination information 12. HRWS audit information 13. Regrading information 14. Letters and memos relating to above <p>b) HR Strategy</p> <ol style="list-style-type: none"> 1. HR Strategy 2. HR Operational Plan 3. HR Self-Evaluation 4. Internal Customer Evaluation 5. HR Team meetings 	<p>a) Current + 7 years for leavers</p> <p>b) Current + 3 years</p>	

<p>c) Recruitment Files</p> <ol style="list-style-type: none"> 1. ATR 2. Job Description 3. Application forms and supporting documents (successful applicant details as per 1 above) 4. Shortlisting summary sheet 5. Interview Summary sheet 6. Equality & Diversity Monitoring <p>d) Disclosure Scotland documentation</p> <p>e) Staffing Committee documentation</p> <ol style="list-style-type: none"> 1. Working papers 2. Committee papers 3. Committee minutes <p>f) JCC/JNC/RPA</p> <ol style="list-style-type: none"> 1. Working papers 2. Committee papers <p>g) Policies & Procedures</p> <ol style="list-style-type: none"> 1. Impact Assessment papers 2. Policies & Procedures <p>h) HR Policy Review Group</p> <ol style="list-style-type: none"> 1. HRPRG papers 2. HRPRG notes <p>i) Restructuring information</p> <ol style="list-style-type: none"> 1. Information relating to specific staff members as per 1 above 2. Sectional/Directorate information 	<p>c) Current year + 1</p> <p>d) 90 days following receipt</p> <p>e) Current session +7 years</p> <p>f) Current session + 7 years</p> <p>g) Current version + previous version</p> <p>h) Current session + 3 years</p> <p>i) Current session + 7 years</p>	
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<p>j) HR Budget information</p> <p>k) Specific projects</p> <p>l) Terms & conditions information</p> <p>m) Superannuation 1. Personal information as per 1 2. Scheme information</p>	<p>j) Current session + 3 years</p> <p>k) While projects remain live + 5 years</p> <p>l) Permanent from date of incorporation (1993)</p> <p>m) Current + 7 years</p>	
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Description of Record	Retention Period	Comments e.g. refer to statutory requirements
<p>QUALITY</p> <p>Responsible Person: <u>Quality Officer</u></p> <p>a) External Documentation</p> <ol style="list-style-type: none"> 1. Course Committee minutes 2. Directorate Academic Committee minutes 3. External verification reports 4. Annual course reports 5. Self-evaluation reports <p>b) Internal Documentation</p> <ol style="list-style-type: none"> 1. Course reviews 2. Course approval & validation reports 3. Internal audit documentation 	<ol style="list-style-type: none"> 1. Current + 3 years 2. Current + 3 years 3. Current + 3 years 4. Current + 3 years 5. Current + 3 years <ol style="list-style-type: none"> 1. Current + 3 years 2. Current + 3 years 3. Current + 3 years 	

Description of Record	Retention Period	Comments e.g. refer to statutory requirements
<p>STAFF DEVELOPMENT</p> <p>Responsible Person: <u>Personal Development Officer</u></p> <p>a) Internal</p> <ol style="list-style-type: none"> 1. Internal staff development programmes 2. Reports on staff development activities 3. Individual staff records <p>4. Career Review – training needs</p> <p>b) External</p> <ol style="list-style-type: none"> 1. Applications for staff development 2. Approval/rejection documentation 3. Applications to UHI 4. Individual staff records <p>c) Learning & Teaching</p> <ol style="list-style-type: none"> 1. Introduction to Teaching 2. TQFE: <ul style="list-style-type: none"> • Records • Reports 	<ol style="list-style-type: none"> 1. Current + 3 years 2. Current + 3 years 3. Permanent for current staff, plus 2 years after employment ceased 4. Current + 2 years <ol style="list-style-type: none"> 1. Current + 3 years 2. Current + 3 years 3. Current + 3 years 4. Permanent for current staff, plus 2 years after employment ceased <ol style="list-style-type: none"> 1. Current + 3 years 2. Current + 3 years 	

Description of Record	Retention Period	Comments e.g. refer to statutory requirements
<p>LICENCES</p> <p>Responsible Person: <u>Learning Resource Centre Officer</u></p> <ol style="list-style-type: none"> 1. CLA 2. ERA 3. NLA 4. PPL 5. PRS 6. TV Licensing 	<ol style="list-style-type: none"> 1. Current + 3 years 2. Current + 3 years 3. Current + 3 years 4. Current + 3 years 5. Current + 3 years 6. Current + 3 years 	

Description of Record	Retention Period	Comments e.g. refer to statutory requirements
<p>MANAGEMENT INFORMATION SERVICES (MIS)</p> <p>Responsible Person: <u>Information Officer</u></p> <p>a) Paper documents</p> <ol style="list-style-type: none"> 1. Working documents for UHI, SQA, e-com/SIA 2. Back-up documentation for SUMs Return 3. Working documents for Performance Indicators <p>b) Electronic Records</p> <ol style="list-style-type: none"> 1. Documentation relating to SITS 2. Documentation relating to CELCAT <p>c) Electronic Reports</p> <ol style="list-style-type: none"> 1. Application Reports 2. Enrolment Reports 3. Performance Indicator Reports 4. Equal Opportunity Reports 5. SQA Moderation Group Reports 6. Attendance Reports 7. Performance Indicator file for HMle 8. LRC PC Usage Reports 9. Activity Targets 10. Miscellaneous Reports 	<ol style="list-style-type: none"> 1. Current + 3 years 2. Current + 3 years 3. Current + 3 years <ol style="list-style-type: none"> 1. Current + 5 years 2. Current + 3 years <ol style="list-style-type: none"> 1. Current + 3 years 2. Current + 3 years 3. Current + 3 years 4. Current + 3 years 5. Current + 3 years 6. Current + 3 years 7. Current + 3 years 8. Current + 3 years 9. Current + 3 years 10. Current + 3 years 	<p>In agreement with UHI</p>

Description of Records	Retention Periods	Comments e.g. refer to statutory requirements
<p>Responsible Person: <u>Director</u></p> <ol style="list-style-type: none"> 1. Student Advice files 2. Student Progress reports 3. References 4. Student assessments 5. Sample of assessments to be held for UHI 6. Internal Verification documentation 7. Masterfiles/teaching folders, including unit/module specification, lesson plans and schemes of work 8. Unit and course evaluations 9. Evaluation of Learning and Teaching 10. Internal Customer Evaluations 11. Course Team meeting notes 12. Student assessment materials for degrees 	<p>Current + 3 years</p> <p>Current + 3 years</p> <p>Current + 5 years</p> <p>Current</p> <p>Current + 3 years</p> <p>Currency of units/modules</p> <p>Currency of unit/module</p> <p>Current + 3 years</p> <p>Current + 5 years</p> <p>Current + 1 year</p> <p>Current + 3 years</p> <p>Current + 5 years</p>	