

**HERITAGE AND INFORMATION GOVERNANCE
Records Retention Schedule for Governance**

This retention schedule is based on the recommendations made by the Joint Information Systems Committee. The letter indicates the final disposition of each type of record, and applies to original records. Where copies of originals are kept locally, these can be destroyed when these are no longer required.:

A = 1 copy to be transferred to the University Archive. See Retention Schedule Guidelines for further details.

D = Destroyed.

The number following the letter code indicates the period (in years) after which records may be destroyed, and is the minimum retention period required by best practice or legislation. It assumes a new file is opened at the start of each academic, calendar or financial year, and is **always** calculated from the date of the last record in the file.

FOLDER STRUCTURE	Examples of Types of Record	Retention Period	Legislative Authority
<p>GOVERNANCE/STRATEGY</p> <ul style="list-style-type: none"> • 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. 	<p>Key records documenting the development and establishment of the institution's governance strategy.</p> <p>Working papers documenting the development and establishment of the institution's governance strategy.</p>	<p>A: Superseded + 10 years Copy to the University Archive after approval for permanent retention.</p> <p>D: Issue of policy + 1 year</p>	

Records Retention Schedule for Governance (2)

<p>GOVERNANCE/COMMITTEES</p> <ul style="list-style-type: none"> • 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) • dissolving committees which are no longer required. <p>For pre-1992 institutions in Scotland, the governing body is usually the Court and the other constitutional body is the Senate. Committees of the governing body include: audit committee; remuneration committee; nominations committee (Note 3).</p>	<p>Development and establishment of the terms of reference, and the rules and procedures, for a committee.</p> <p>Conduct of business of a committee: agenda, minutes and supporting papers.</p> <p>Appointment/election/designation of members of a committee.</p> <p>Development of induction and training programmes for committee members.</p> <p>Training undertaken by individual members of a committee.</p> <p>Arrangements for meetings of a committee.</p> <p>Conduct of 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.</p> <p>Conduct of reviews of effectiveness and performance of a committee.</p>	<p>A: Life of institution/committee</p> <p>A: Life of institution</p> <p>D: Termination of appointment + 6 years</p> <p>D: Superseded + 5 years Retaining previous versions provides evidence of effective induction and training over time.</p> <p>D: Termination of appointment + 6 years</p> <p>D: Current year + 1 year</p> <p>D: Current year + 5 years</p> <p>D: Completion of two subsequent reviews</p>	<p>Committees of Court, Senate, Boards of Management, etc.</p> <p>Limitation Act 1980 c.58 s5 Prescription and Limitation (Scotland) Act 1973 c.52 s6</p> <p>Limitation Act 1980 c.58 s5 Prescription and Limitation (Scotland) Act 1973 c.52 s6</p> <p>Limitation Act 1980 c.58 s5 Prescription and Limitation (Scotland) Act 1973 c.52 s6</p> <p>Retaining records of previous reviews provides evidence of effective monitoring over time, as well as compliance with regulatory requirements/recommendations to undertake reviews.</p>
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Records Retention Schedule for Governance (3)

GOVERNANCE/COMMITTEES (Continued)	Register of interests of members of the institution's governing body.	D: Termination of appointment + 6 years	Limitation Act 1980 c.58 s5 Prescription and Limitation (Scotland) Act 1973 c.52 s6
GOVERNANCE/EXTERNALREPRESENTATION <ul style="list-style-type: none"> appointing or otherwise designating staff to represent the institution. 	Appointment/designation of staff to officially represent the institution.	D: Termination of representation	
GOVERNANCE/LEGALFRAMEWORK <ul style="list-style-type: none"> establishing and, where appropriate, changing the legal status of the institution e.g. Charter and Statutes 	Establishment and development of the institution's legal framework, i.e. Charter & Statutes.	A: Life of institution Copy to the University Archive after approval for permanent retention.	
GOVERNANCE/PUBLICINTEREST	Investigation, determination and resolution of an allegation made by a member of staff under the Public Interest Disclosure Act 1998.	D: Closure of case + 6 years	Limitation Act 1980 c.58 s5 Prescription and Limitation (Scotland) Act 1973 c.52 s6
GOVERNANCE/SENIORAPPOINTMENTS <ul style="list-style-type: none"> setting terms and conditions for officers recruitment of officers. 	Appointment/ election/designation of the institution's senior officers e.g. Chancellor, Principal, Secretary.	D: Termination of appointment + 6 years	Limitation Act 1980 c.58 s5 Prescription and Limitation (Scotland) Act 1973 c.52 s6
GOVERNANCE/STRUCTURE <ul style="list-style-type: none"> establishing and, where appropriate, changing the institution's governance structure and rules. 	Establishment and development institution's governance structure and rules, i.e. Ordinances & Regulations.	A: Life of institution Copy to the University Archive after approval for permanent retention.	

NOTES

Note 1: Guide for Members of Higher Education Governing Bodies in the UK, Committee of University Chairmen, 2004, Part I, para.15:

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

Note 2: Guide for Members of Higher Education Governing Bodies in the UK, Committee of University Chairmen, 2004, Part I, para.6:

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

Note 3: Guide for Members of Higher Education Governing Bodies in the UK, Committee of University Chairmen, 2004, Part II, para.2.42:

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