This category covers the management of the institution's records. It does **not** cover the management of the business units which are responsible for the institution's records or of the buildings/facilities where the records are stored or used.

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
RECORDSMANAGEMENT/STRATEGY • 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. Working papers documenting development and establishment of the institution's records management strategy.	A: Superseded + 5 years Copy to the University Archive after approval for permanent retention. D: Issue of strategy + 1 year	

Records Retention Schedule for Records Management (2)

RECORDSMANAGEMENT/POLICY			
- 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 records management policies. Working papers documenting development and establishment of the institution's records management policies.	A: Superseded + 5 years Copy to the University Archive after approval for permanent retention. D: Issue of policy + 1 year	
RECORDSMANAGEMENT/PROCEDURES			
- 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. Development of the institution's procedures relating to records management.	A: Superseded + 3 years Copy to the University Archive after approval for permanent retention. D: Issue of procedures + 1 year	

Records Retention Schedule for Records Management (3)

Records means 'information created, received, and maintained as evidence and information by an organization, or person, in pursuance of legal obligations or in the transaction of business' ISO 15489-1:2001 Information and documentation - Records Management - Part 1: General, para. 3.15. Records may be in any medium and format including paper and electronic documents, electronic databases, data in electronic systems and audio-visual materials.

RECORDSMANAGEMENT/ACCESS • devising access/retrieval control systems • operating access/retrieval control systems • tracking the provision of access to records • supervising access to records under controlled conditions.	Provision of access to records.	D: Date of access + 1 year	
RECORDSMANAGEMENT/CAPTURE • determining recordkeeping requirements for individual business activities and processes.	Recordkeeping requirements for specific business activities and processes.	D: Superseded	
RECORDSMANAGEMENT/DISPOSAL • authorising disposal of redundant records • preparing redundant records for disposal.	Authorisation for the disposal of redundant records.	Disposal of records + 25 years	
RECORDSMANAGEMENT/MAINTENANCE • carrying out physical conservation of records.	Conservation work undertaken on records.	Disposal of records	
RECORDSMANAGEMENT/ORGANISATION • developing business classification schemes • developing file plans • developing thesauri • developing metadata schemes.	Classification and indexing schemes for records.	D: Superseded + 5 years	
RECORDSMANAGEMENT/RETENTION • identifying requirements to retain records • developing records retention schedules • applying records retention schedules.	Final versions of Records Retention Schedules. Determination of retention periods for records. Review of records to determine requirements for ongoing retention, where records are disposed of.	A: Permanent Retaining a history of retention periods provides evidence of effective control of records and the basis for disposal of records. D: Completion of revised Records Retention Schedule + 1 year D: Life of records + 25 years	

RECORDSMANAGEMENT/STORAGE			
• determining appropriate storage conditions for records • devising storage control systems • determining requirements and devising systems for converting records to alternative storage media.	Storage locations of records. Movement of records to/from storage.	D: Superseded D: Return of records + 1 year	
RECORDS MANAGEMENT/SURVEYS • devising methods of capturing and analysing survey/audit data • capturing and analysing data • preparing survey/audit reports.	Conduct and results of records surveys/ audits.	D: Completion of subsequent survey/audit This retention period assumes that the purpose and scope of the subsequent audit is comparable. If it is not, a longer retention period may be appropriate.	