

HERITAGE AND INFORMATION GOVERNANCE

Records Retention Schedule for Commercial Services

This covers the corporate management of all commercial services provided directly by the institution. Where a commercial service is provided through a related company, use the relevant categories within the Function for the company (or add a Function for the company using the framework provided in **Related Companies**). Commercial service means a service which is provided in exchange for income. Users/customers of the service may be institutional staff or students, the public or external organisations. It does **not** cover consultancy services which are covered by **Consultancy**.

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	Authority
COMMERCIAL SERVICES/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 commercial services strategy. Working papers documenting development and establishment of the institution's commercial services strategy	A: Superseded + 3 years Copy to the University Archive after approval for permanent retention. D: Issue of strategy + 1 year	

Records Retention Schedule for Commercial Services (2)

COMMERCIAL SERVICES/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 policies on the management of commercial services. Working papers documenting development and establishment of the institution's policies on the management of commercial services.	A: Superseded + 3 years Copy to the University Archive after approval for permanent retention. D: Issue of policy + 1 year	
COMMERCIAL SERVICES/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 the management of commercial services. Development of the institution's procedures relating to the management of commercial services.	A: Superseded + 3 years Copy to the University Archive after approval for permanent retention. D: Issue of procedures + 1 year	

Records Retention Schedule for Commercial Services (3)

COMMERCIAL SERVICES/OPERATIONS The activities involved will depend on the type of service being provided. Some activities are common to many types of commercial services (e.g. handling enquiries; pricing). Other activities are specific to particular types of services. The institution should identify and define the activities associated with each service that it provides. This single activity of 'Operations Management' may be replaced by a number of specific activities, depending on the complexity of the service being provided.	TO BE DEFINED BY THE INSTITUTION	TO BE DEFINED BY THE INSTITUTION	
COMMERCIAL SERVICES/CUSTOMERS Activities involved in establishing and managing relationships with customers, including: • handling enquiries • handling customer complaints • conducting customer surveys.	Records documenting enquiries about the service and the responses provided. Records documenting the handling of complaints from customers of the service. Records documenting unsolicited customer feedback on the service and the responses provided. Records documenting the design of service customer surveys and the (anonymised, if necessary) analysis of responses. Individual responses to service customer surveys.	D: Last action on enquiry + 1 year D: Last action on complaint + 3 years Retention for a longer period may be appropriate if the complaint, or the handling of the complaint, could be a basis for legal action against the institution. D: Last action on feedback + 3 years D: Last action on survey + 3 years Completion of analysis of responses If responses identify individuals, these records must be retained in accordance with the provisions of the Data Protection Act 1998 (c.29).	

Note1

This is a generic business classification scheme for the function of providing a commercial service. It is a framework which can be customised to produce a specific business classification scheme for any type of commercial service which the institution provides.

Commercial services provided by HEIs include: catering services; childcare services; conference services; graphic design services; holiday accommodation services; laboratory testing/analysis services; leisure services; library and information services; media production services; photographic services; printing services; retail services.

Identifying and defining all the activities involved in delivering all the possible services that an institution could provide is outside the scope of this Business Classification Scheme.

Note 2

This function is intended to cover only the substantive (i.e. 'core business') aspects of providing a commercial service. A business unit which provides a commercial service will also undertake functions which appear elsewhere in this business classification scheme (e.g. Finance Management).