

HERITAGE AND INFORMATION GOVERNANCE
Records Retention Schedule for Equipment & Consumables Management

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.

- Equipment includes instruments, tools, machines, plant, vehicles, interior fixtures and fittings, furniture and furnishings, personal protective equipment.
- Consumables include stationery, janitorial supplies, decorating materials, cleaning materials, first aid supplies, food, uniforms and protective clothing.

FOLDER STRUCTURE	Examples of Types of Record	Retention Period	Legislative Authority
EQUIPCONSUMABLES/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 equipment & consumables management strategy. Working papers documenting development and establishment of the institution's equipment & consumables 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	A: Superseded + 5 years Copy to the University Archive after approval for permanent retention.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 Equipment & Consumables Management (2)

EQUIPCONSUMABLES/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 equipment & consumables management policies. Working papers documenting development and establishment of the institution's equipment & consumables management policies.	A: Superseded + 5 years Copy to the University Archive after approval for permanent retention. D: Issue of policy + 1 year	
EQUIPCONSUMABLES/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 equipment & consumables management. Development of the institution's procedures relating to equipment & consumables 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 Equipment & Consumables Management (3)

EQUIPCONSUMABLES/DISPOSAL - authorising disposal - identifying and evaluating alternative methods of disposal - undertaking cleaning/sanitisation of equipment and consumables prior to disposal - providing any necessary certification (e.g. of safety) or documentation (e.g. maintenance history) to recipients of sold or donated equipment and consumables - where appropriate (e.g. for vehicles), administering transfer of ownership of equipment and consumables and retaining necessary documentation. Disposing means physically removing from the institution's premises for return to the owner, donation to another organisation, sale or destruction.	Authorisation for the disposal of equipment/consumables, and the evaluation of alternative methods of disposal. Cleaning/sanitisation of equipment/consumables prior to disposal: items used in connection with operations involving substances hazardous to health. Cleaning/sanitisation of equipment/consumables prior to disposal: other items. Transfer of ownership of equipment/consumables.	D: Disposal of item + 1 year D: Disposal of item + 20 years D: Disposal of item + 6 years D: Disposal of item + 1 year	Limitation Act 1980 c.58 s14 Prescription and Limitation (Scotland) Act 1973 c.52 ss7, 8 Limitation Act 1980 c.58 s5 Prescription and Limitation (Scotland) Act 1973 c.52 s6
EQUIPCONSUMABLES/INSTALLATION - conducting pre-commissioning inspections / examinations / tests - conducting post-installation inspections / examinations / tests to ensure compliance with technical standards and/or legal requirements.	Installation of equipment: major items. Installation of equipment: items which are safety critical or associated with hazardous operations. Installation of equipment: other items. Health and Safety File for fixed plant which is a 'structure' as defined in Regulation 2 of the Construction (Design and Management) Regulations 1994 (SI 1994/3140). Reports of pre-commissioning examinations of lifting equipment, as required by Regulation 9(1) and 9(2) of the Lifting Operations and Lifting Equipment Regulations 1998 (SI 1998/2307).	D: Decommissioning/removal + 6 years D: Decommissioning/removal + 40 years D: Decommissioning/removal D: Decommissioning/removal of plant A Health and Safety File is transferred to the new owner when a structure is sold. Decommissioning.	Limitation Act 1980 c.58 s5 SI 1994/3140 Regulation 12 SI 1994/3140 does not prescribe a retention period for these records but implies that the Health and Safety File for a structure should be retained for the life of the structure. SI 1998/2307 Regulation 11(2)(a)(i) and 11(2)(a)(iii)

DE: RM: DraftsforPublication: EquipmentConsumables

Author: Brian D.A. Kelvin, Records Manager

Date cretaed: 8 November 2010

Records Retention Schedule for Equipment & Consumables Management (4)

EQUIPCONSUMABLES/INSTALLATION (Continued)	Reports of pre-commissioning examinations of accessories for lifting, as required Regulation 9(1) of the Lifting Operations and Lifting Equipment Regulations 1998 (SI 1998/2307).	Date of report + 2 years	SI 1998/2307 Regulation 11(2)(a)(ii)
EQUIPCONSUMABLES/MAINTENANCE - conducting inspections and tests at planned or required intervals - undertaking planned preventive maintenance - repairing or modifying equipment in response to reported problems.	Inspection, testing and maintenance of equipment, except as specified elsewhere. Inspection, testing and maintenance of equipment: major items other than those specified elsewhere. Maintenance logs for equipment. Inspections of equipment, made under Regulation 6 of the Provision and Use of Work Equipment Regulations 1998 (SI 1998/2306). Inspection, testing and maintenance of equipment: items which are safety critical or are associated with hazardous operations.	D: Disposal of item + 1 year D: Decommissioning/Removal + 6 years D: Life of equipment + 6 years D: Completion of subsequent inspection D: Decommissioning/Disposal + 20 years Retaining a maintenance history provides evidence of compliance and effective management of health and safety over time.	Limitation Act 1980 c.58 s5 SI 1998/2306 Regulation 5(2) Limitation Act 1980 c.58 s5 SI 1998/2306 Regulation 6(3) Limitation Act 1980 c.58 s14 Prescription and Limitation (Scotland) Act 1973 c.52 ss7, 8 SI 1997/1840 Regulation 6 requires the maintenance of fire detection and fire-fighting equipment but does not prescribe a retention period for records in relation to this activity.

Records Retention Schedule for Equipment & Consumables Management (5)

EQUIPCONSUMABLES/MAINTENANCE (CONT.)	Examination, testing and repair of plant and equipment provided to control exposure to substances hazardous to health, as required by Regulation 9 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).	D: Date of examination/test/repair + 5 years	SI 2002/2677 Regulation 9(4)
	Examination, testing and repair of plant and equipment provided to control exposure to asbestos, as required by Regulation 13 of the Control of Asbestos Regulations 2006 (SI 2006/2739).	D: Date of examination/test/repair + 5 years	SI 2006/2739 Regulation 13(3)
	Examination, testing and repair of plant and equipment provided to control exposure to lead, as required by Regulation 8 of the Control of Lead at Work Regulations 2002 (SI 2002/2676).	D: Date of examination/test/repair + 5 years	SI 2002/2676 Regulation 8(4)
	Examination, testing and repair of personal protective equipment provided to control exposure to ionising radiation, as required by Regulation 10(2) of the Ionising Radiations Regulations 1999 (SI 1999/3232).	D: Date of examination/test/repair + 2 years	SI 1999/3232 Regulation 10(2)
	Examination, testing and repair of other equipment provided to control exposure to ionising radiation, as required by Regulation 10(1) of the Ionising Radiations Regulations 1999 (SI 1999/3232).	D: Date of examination/test/repair + 5 years SI 1999/3232 does not prescribe a retention period for these records.	

Records Retention Schedule for Equipment & Consumables Management (6)

EQUIPCONSUMABLES/MAINTENANCE (CONT.)	Maintenance and testing of equipment for monitoring levels of ionising radiation, as required by Regulation 19(2) of the Ionising Radiations Regulations 1999 (SI 1999/3232). Reports of inspection and 'thorough examination' of lifting equipment, as required by Regulation 9 of the Lifting Operations and Lifting Equipment Regulations 1998 (SI 1998/2307).	D: Date of maintenance/testing + 2 years D: Date of subsequent report OR Date of report + 2 years, whichever is the later	SI 1999/3232 Regulation 19(4)(c) SI 1998/2307 Regulation 11(2)(a)(iv)
EQUIPCONSUMABLES/SELECTION - developing specifications of requirements - identifying sources of supply - evaluating and selecting items.	Development of specifications for, and the selection of, equipment/consumables: major items Development of specifications for, and the selection of, equipment/consumables: items which are safety critical or associated with hazardous operations. Development of specifications for, and the selection of, equipment/consumables: other items.	D: Life of item + 6 years D: Life of item + 40 years D: Life of item	Limitation Act 1980 c.58 s5
EQUIPCONSUMABLES/STORAGE - monitoring storage conditions to ensure compliance with technical standards and/or legislation - monitoring the condition of items held in storage - maintaining the stock inventory - monitoring and maintaining stock levels - controlling the allocation/issue of items from storage.	Monitoring of the condition of stored equipment/consumables. Stock inventory for equipment/consumables. Routine stocktaking and stock checking. Movement of stock into and from storage.	D: Current year + 1 year D: Superseded D: Current year + 1 year D: Current year + 1 year	