

HERITAGE AND INFORMATION GOVERNANCE

Records Retention Schedule for Estate 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.

Estate means land and buildings (or other fixed structures) on land.

FOLDER STRUCTURE	Examples of Types of Record	Retention Period	Authority
ESTATES/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 estate management strategy. Working papers documenting development and establishment of the institution's estate management strategy.	A: Superseded + 10 years Copy to the University Archive after approval for permanent retention. D: Issue of strategy + 1 year	

DE: RM: DraftsforPublication: Estates

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Records Retention Schedule for Estate Management (2)

ESTATES/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 estate management policies. Working papers documenting development and establishment of the institution's estate management policies.	A: Superseded + 10 years Copy to the University Archive after approval for permanent retention. D: Issue of policy + 1 year	
ESTATES/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 estate management. Development of the institution's procedures relating to estate management.	A: Superseded + 10 years Copy to the University Archive after approval for permanent retention. D: Issue of procedures + 1 year	

Records Retention Schedule for Estate Management (3)

ESTATES/PROPERTY/ACQUISITION The activities involved in acquiring ownership or use of land or buildings through purchase, transfer, donation, lease or rental.	Acquisition of ownership of properties. Deeds of title for properties owned by the institution. Negotiations for properties where the property was not acquired. Negotiation of leases and original lease agreements.	D: Disposal of property + 12 years This retention period assumes that property contracts are executed as deeds. For other types of contracts, the retention period may be 6 years rather than 12 years. D: Disposal of property Deeds of title for a property are transferred to the new owner when the property is sold. D: Closure of negotiations + 6 years D: Expiry of lease + 20 years	Limitation Act 1980 c.58 s8 Prescription and Limitation (Scotland) Act 1973 c.52 ss7, 8 Limitation Act 1980 c.58 s2 Prescription and Limitation (Scotland) Act 1973 c.52 s6 Limitation Act 1980 c.58 s14B Prescription and Limitation (Scotland) Act 1973 c.52 ss7, 8
ESTATES/PROPERTY/DEVELOPMENT - undertaking feasibility studies - conducting consultations - developing specifications - preparing building plans - obtaining planning consents - obtaining permits for specific types of work - undertaking development works - inspecting completed works and arranging external inspections to obtain necessary certifications. Developing land and buildings includes: - changing the use of land and buildings - constructing new buildings or other structures - undertaking conservation or restoration work on land and buildings - extending, altering and reconfiguring land or buildings.	Development of properties e.g. Building Project files. Health and Safety File for a structure, as required by Regulation 14(d) of the Construction (Design and Management) Regulations 1994 (SI 1994/3140). Applications for planning consents required to (re)develop property and consents granted.	D: Disposal of property Some of these records may be transferred to the new owner when property is sold. D: Demolition of property OR Disposal of interest in property D: Disposal of property or expiry of consent Planning consents which are valid when a property is sold are transferred to the new owner.	SI 1994/3140 Regulation 12 SI 1994/3140 does not prescribe a retention period for these records but Regulation 12 implies that the Health and Safety File for a structure should be retained for the life of the structure by the person responsible for the property. Regulation 12(2) requires that a Health and Safety File is transferred to the new owner when ownership transfers.

Records Retention Schedule for Estate Management (4)

ESTATES/PROPERTY/MAINTENANCE - conducting general inspections - establishing and implementing planned maintenance programmes - carrying out reactive maintenance - conducting inspections to determine the presence and condition of hazardous materials (e.g. asbestos) - carrying out decontamination works.	Records documenting routine inspections of property Major maintenance works on property. Minor maintenance works on property. Assessments made to determine the presence (or likely presence) of asbestos in premises, as required by Regulation 4(3) of the Control of Asbestos Regulations 2006 (SI 2006/2739). Monitoring of the condition of asbestos in premises, and of maintaining or removing it.	Date of Inspection + 5 years D: Disposal of property Some of these records may be transferred to new owners when land is sold. D: Completion of works + 15 years D: Review of assessment + 10 years SI 2006/2739 does not prescribe a retention period for these records. Retaining assessments provides evidence of effective management of risks associated with works carried out. D: Removal of asbestos + 10 years OR Subsequent inspection + 10 years	Retaining inspection records provides evidence of effective property management. Limitation Act 1980 c.58 s14B Prescription and Limitation (Scotland) Act 1973 c.52 ss7, 8 Retaining these records provides evidence of compliance with SI 2006/2739.
ESTATES/PROPERTY/DISPOSAL - obtaining valuations - undertaking surveys.	Disposal of properties by sale, transfer or donation.	D: Disposal of property + 12 years This retention period assumes that property contracts are executed as deeds. For other types of contracts, the retention period may be 6 years rather than 12 years.	Limitation Act 1980 c.58 s8 Prescription and Limitation (Scotland) Act 1973 c.52 ss7, 8

Records Retention Schedule for Estate Management (5)

ESTATES/PROPERTY/SECURITY - conducting security inspections - conducting routine surveillance operations (e.g. guarding, patrol and CCTV surveillance) to prevent and detect unauthorised access - responding to, and investigating, security breaches or incidents.	Conduct and results of security inspections of properties, and action taken to address issued raised. Property access controls to secure areas (e.g. access registers, key registers, security data logs). Records of security passes issued to visitors. Records of security passes issued to employees, other staff and students. Conduct of routine security surveillance of properties. Security breaches or incidents, and action taken.	D: Completion of subsequent inspection D: Creation + 2 years D: Expiry of pass + 1 month D: Expiry of pass + 1 year D: Creation + 1 month D: Last action on incident + 1 year	
ESTATES/PROPERTY/LEASING leasing land and buildings to third parties.	Leasing-out arrangements for properties.	D: Expiry of lease + 12 years This retention period assumes that leases are executed as deeds. For other types of contracts, the retention period may be 6 years rather than 12 years.	Limitation Act 1980 c.58 s8 Prescription and Limitation (Scotland) Act 1973 c.52 ss7, 8
ESTATES/SPACE MANAGEMENT - conducting space audits - monitoring the utilisation of space, ensuring compliance with legislation.	Conduct and outcomes of space audits.	D: Completion of subsequent audit + 5 years	