

HERITAGE AND INFORMATION GOVERNANCE
Records Retention Schedule for Information Compliance

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
INFORMATION COMPLIANCE/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 information compliance strategy. Working papers documenting development and establishment of the institution's information compliance strategy.	A: Superseded + 10 years Copy to the University Archive after approval for permanent retention. D: Issue of strategy + 1 year	Legislation on access to information means legislation on data protection, freedom of information and access to environmental information. In Scotland, the relevant legislation is: Data Protection Act 1998; Freedom of Information (Scotland) Act 2002; Environmental Information (Scotland) Regulations 2004.

Records Retention Schedule for Information Compliance (2)

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	A: Superseded + 10 years Copy to the University Archive after approval for permanent retention.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	A: Superseded + 10 years Copy to the University Archive after approval for permanent retention.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

Records Retention Schedule for Information Compliance (3)

INFORMATION COMPLIANCE/DPA • notifying details of the institution's data controller to the Information Commissioner • handling requests for personal information held by the institution.	The institution's notification of data controller details (to be added to the public register of data controllers) to the Information Commissioner's Office, as required by s 2 of the Data Protection Act 1998 (c. 29). Handling of requests for access to personal information held by the institution under the Data Protection Act 1998 (c. 29). Anonymised statistics, analyses and reports of requests for access to personal information held by the institution under the Data Protection Act 1998 (c. 29).	D: Current year + 1 year Notification must be renewed annually to maintain an entry in the public register of data controllers. D: Last action on request + 3 year 1998 c. 29 does not prescribe a retention period for these records. A longer retention period may be appropriate for records documenting the handling of requests which resulted in complaints or appeals. D: Current year + 10 years	In the UK, the relevant legislation is the Data Protection Act 1998 Common practice
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Records Retention Schedule for Information Compliance (4)

INFORMATION COMPLIANCE/EIR handling requests for environmental information held by the institution.	Handling of requests for environmental information held by the institution, made under the Environmental Information Regulations 2004 (SI 2004/3391) or the Environmental Information (Scotland) Regulations 2004 (SSI 2004/520). Anonymised management statistics, analyses and reports of requests for environmental information held by the institution, made under the Environmental Information Regulations 2004 (SI 2004/3391) or the Environmental Information (Scotland) Regulations 2004 (SSI 2004/520).	Completion of request handling process + 3 years This recommended retention period is in line with the period recommended by The National Archives for retention of records relating to the handling of requests for information under the Freedom of Information Act 2000. See <i>Records created by a public body fulfilling its obligations under the Freedom of Information Act 2000</i> (The National Archives). Records (or information extracted from them) relating to cases which set legal precedents or which establish principles for handling requests for certain types of information should be kept for longer, possibly as part of policy development records (see Information Compliance/ Policy). Current year + 10 years	In Scotland, the relevant legislation is the Environmental Information (Scotland) Regulations 2004. <i>Records created by a public body fulfilling its obligations under the Freedom of Information Act 2000</i> (The National Archives).
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Records Retention Schedule for Information Compliance (5)

INFORMATION COMPLIANCE/FOI - developing, publishing and maintaining the institution's Publication Scheme - handling requests for information held by the institution.	Development and maintenance of the institution's Publication Scheme, as required by the Freedom of Information Act 2000 (c. 36) and the Freedom of Information (Scotland) Act 2002 (asp 13). Handling of requests for information held by the institution, made under the Freedom of Information Act 2000 (c. 36) or the Freedom of Information (Scotland) Act 2002 (asp 13). Aonymised management statistics, analyses and reports of requests for information held by the institution, made under the Freedom of Information Act 2000 (c. 36) or the Freedom of Information (Scotland) Act 2002 (asp 13).	D: Completion of revision of Publication Scheme + 5 years D: Completion of request handling process + 3 years The National Archives recommends '3 Years after date of creation'. See <i>Records created by a public body fulfilling its obligations under the Freedom of Information Act 2000</i> (The National Archives). Records (or information extracted from them) relating to cases which set legal precedents or which establish principles for handling requests for certain types of information should be kept for longer, possibly as part of policy development records (see Information Compliance/ Policy). D: Current year + 10 years <i>Annual statistics should be retained permanently in the University Archive.</i>	In Scotland, the relevant legislation is the Freedom of Information (Scotland) Act 2002. <i>Records created by a public body fulfilling its obligations under the Freedom of Information Act 2000</i> (The National Archives). A request handling process is completed when the request has been fulfilled or when all complaints and/or appeals (against non-disclosure of information or methods of handling the request) have been determined. <i>Records created by a public body fulfilling its obligations under the Freedom of Information Act 2000</i> (The National Archives).
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