Records Retention Schedule for Archives 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.

Archives means records (see Records Management) which are preserved permanently because of the enduring value of the information they contain or the evidence they provide of the institution's functions and activities. This function covers the management of the institution's archives. It does **not** cover the management of the business units which are responsible for the archives or of the buildings/facilities where the archives are stored or made available to researchers.

FOLDER STRUCTURE	Examples of Types of Record	Retention Period	Legislative Authority
ARCHIVES/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 archives management strategy. Examples include Service forward plans. Working papers documenting development and establishment of the institution's archives management strategy.	A: Superseded + 5 years Copy to the University Archive after approval for permanent retention. D: Issue of strategy + 1 year	

ARCHIVES/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 archives management policies, e.g. Acquisition & Disposal Policy, Volunteer Policy. Working papers documenting development and establishment of the institution's archives management policies.	A: Superseded + 5 years Copy to the University Archive after approval for permanent retention. D:Issue of policy + 1 year	
ARCHIVES/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 archives management, e.g. Searchroom Rules. Development of the institution's procedures relating to archives management.	A: Superseded + 3 years Copy to the University Archive after approval for permanent retention. D: Issue of procedures + 1 year	

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ARCHIVES/ACCESS • devising access control systems • supervising access to archives under controlled conditions.	Requests for access to archives.	D: Last action on request + 1 year	
ARCHIVES/ACQUISITION • receiving and appraising archives, and returning or otherwise disposing of unwanted material.	Development and establishment of the selection criteria for records to be preserved as archives.	A: Life of archives	
	Appraisal, selection and acquisition of records for preservation as institutional archives.	A: Life of records	
	Accessioning of records acquired for preservation as archives.	A: Life of archives	
ARCHIVES/CONSERVATION • undertaking condition surveys • applying conservation treatments to preserve, repair or restore the condition of items.	Conservation work undertaken on items in the archives.	A: Life of records	
ARCHIVES/DISPOSAL • seeking authorisation for disposal from the owners of records • disposing of de-accessioned archives by donation or sale • disposing of de-accessioned archives by destruction.	Authorisation for the disposal of de-accessioned records, e.g. Exit Forms	A: Completion of disposal process + 6 years	Limitation Act 1980 c.58 s5 Prescription and Limitation (Scotland) Act 1973 c.52 s6
ARCHIVES/ORGANISATION • creating and maintaining records of the provenance, history and management of archives (including remedial conservation, de-accession and disposal).	The institution's scheme of arrangement for its archives.	A: Life of records arranged according to the scheme	
	Development of the institution's standard descriptive model for its archives.	A: Life of records described using the model	
	Descriptions of the records held as archives.	A: Life of records	

ARCHIVES/PROMOTION • developing guides, indexes and other interpretive materials • developing and organising events (e.g. temporary exhibitions, conferences, tours) and activities (e.g. workshops, lectures, demonstrations) • assembling special loan collections of items and interpretive materials to support recreational activities and educational programmes.	Development and maintenance of specialised finding aids to promote and facilitate access to (items in) the archives.	D: Superseded	
	Design and distribution of promotional materials to raise awareness and encourage use of (items in) the archives.	D: Superseded	
	Enquiries about (items in) the archives, and the responses provided. Note: key information from substantive enquiries may be extracted and indexed to avoid repetitive research.	D: Last action on enquiry + 1 year	
	Selection and use of items from the archives by institutional staff (e.g. for teaching events, publications, exhibitions).	D: Current + 5 years	
	Selection and use of items from the archives by third parties (e.g. for exhibitions, publications, television programmes).	D: Last action on project + 5 years	
	Loans of items from the archives to third parties.	D: Termination of loan + 10 years	Limitation Act 1980 c.58 s5 Prescription and Limitation (Scotland) Act 1973 c.52 s6
ARCHIVES/STORAGE • determining appropriate storage conditions • devising storage control systems.	Monitoring and control of the storage of archives.	D: Current year + 1 year	
	Movement of archives from/to storage.	D: Return of items + 1 year	