

**HERITAGE AND INFORMATION GOVERNANCE
Records Retention Schedule for Consultancy**

This category is intended to cover the provision of all consultancy, regardless of its nature (e.g. advice, training, product development, expert witness services) and how it is provided. It covers consultancy which is provided directly by the institution.

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
<p>CONSULTANCY/STRATEGY</p> <ul style="list-style-type: none"> • identifying requirements for new/reviced 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. 	<p>Key records documenting the development and establishment of the institution's consultancy strategy</p> <p>Working papers documenting development and establishment of the institution's consultancy strategy</p>	<p>A: Superseded + 10 years Copy to the University Archive after approval for permanent retention.</p> <p>D: Issue of strategy + 1 year</p>	

Records Retention Schedule for Consultancy (2)

Consultancy means the provision of expert advice to external organisations by institutional staff. It excludes: work which is generally considered as part of normal academic duties (e.g. external examining work for other institutions, service on RAE panels); private consultancy work undertaken by institutional staff (i.e. external paid work which is carried out with the knowledge and approval of the institution but which makes no demands on the institution and for which the institution claims, and has, no liability or responsibility).

<p>CONSULTANCY/POLICY</p> <ul style="list-style-type: none"> • 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 	<p>Key records documenting the development and establishment of the institution's consultancy policies.</p> <p>Working papers documenting development and establishment of the institution's consultancy policies.</p>	<p>A: Superseded + 10 years Copy to the University Archive after approval for permanent retention.</p> <p>D: Issue of policy + 1 year</p>	
<p>CONSULTANCY/PROCEDURES</p> <ul style="list-style-type: none"> • 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. 	<p>Master copies of procedures relating to consultancy.</p> <p>Development of the institution's procedures relating to consultancy.</p>	<p>A: Superseded + 5 years Copy to the University Archive after approval for permanent retention.</p> <p>D: Issue of procedures + 1 year</p>	

Records Retention Schedule for Consultancy (3)

<p>CONSULTANCY/CONTRACTS</p> <ul style="list-style-type: none"> • negotiating contract terms and conditions • negotiating subsequent variations to contracts. 	<p>Key records documenting the negotiation and agreement of contracts, and subsequent variations to contracts.</p> <p>Working papers on negotiation and agreement of contracts, and subsequent variations to contracts.</p>	<p>D: Termination of contract + 6 years</p> <p>D: Agreement of contract</p>	<p>Limitation Act 1980 c.58 s5 Prescription and Limitation (Scotland) Act 1973 c.52 s6</p>
<p>CONSULTANCY/PROJECTS/DELIVERY</p> <p>Activities depend on the type of consultancy being provided. They might include:</p> <ul style="list-style-type: none"> • conducting research • conducting surveys/audits • providing advice • giving presentations • facilitating workshops • providing training. 	<p>Scheduling of meetings, interviews and other project work.</p> <p>Substantive project work.</p> <p>Project deliverables/outcomes: draft versions and working papers.</p> <p>Project deliverables/outcomes: final versions and confirmations of client acceptance.</p>	<p>D: Termination of contract</p> <p>D: Termination of contract + 3 years</p> <p>D: Termination of contract</p> <p>D: Termination of contract + 6 years</p>	<p>Common audit requirement: Information/records provided by clients may be returned to them at the end of projects.</p> <p>Limitation Act 1980 c.58 s5 Prescription and Limitation (Scotland) Act 1973 c.52 s6</p>
<p>CONSULTANCY/PROJECTS/MANAGEMENT</p> <ul style="list-style-type: none"> • monitoring and tracking the progress of work • preparing reports for clients and other stakeholders • arranging appropriate insurance • managing project resources and ensuring compliance with institutional policies and procedures • maintaining project records. 	<p>Key records of management of consultancy projects.</p> <p>Working papers documenting the management of consultancy projects.</p>	<p>D: Termination of contract + 3 years</p> <p>D: Termination of contract</p>	<p>Common audit requirement</p>
<p>CONSULTANCY/PROMOTION</p> <p>Maintaining directories of expertise and services.</p>	<p>Directories of expertise</p>	<p>Current</p>	<p>Retention must comply with the provisions of the Data Protection Act 1998.</p>

Records Retention Schedule for Consultancy (4)

<p>CONSULTANCY/PROSPECT (MANAGEMENT)</p> <ul style="list-style-type: none"> • handling enquiries about the institution's consultancy capabilities/availability/terms • preparing proposals/tenders for consultancy projects. 	<p>Handling of enquiries about consultancy, where no further action is taken.</p> <p>Preparation and submission of consultancy proposals/tenders, where the proposal/tender is unsuccessful (i.e. does not result in a contract).</p> <p>Key records of preparation and submission of consultancy proposals/tenders, where the proposal/tender is successful (i.e. results in a contract).</p> <p>Working papers documenting the preparation and submission of consultancy proposals/ tenders, where the proposal/ tender is accepted (i.e. results in a contract):.</p>	<p>D: Last action on enquiry + 1 year</p> <p>D: Receipt of notification that proposal/ tender was unsuccessful + 1 year</p> <p>D: Termination of contract + 6 years</p> <p>D: Agreement of contract</p>	<p>Limitation Act 1980 c.58 s5 Prescription and Limitation (Scotland) Act 1973 c.52 s6</p>
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