



PRINCIPAL'S GROUP

EXECUTIVE DIRECTOR OF FINANCE'S OFFICE

RETENTION SCHEDULE

SEPTEMBER 2011

ACTIVITY AREAS

1	Academic Schools	11	Human Resources – Grievance\Disciplinary
2	Auditors	12	Joint Consultative Committee (JCC)
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4	Complaints	14	Marketing
5	External Committees	15	Presentations
6	Finance	16	Quality Office
7	Freedom of Information	17	SFC\Scottish Executive
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9	Health & Safety\Risk\Insurance	19	University Committees
10	Human Resources	20	University Executive

<u>Activity Area</u>	<u>Name of record</u>	<u>To Records store</u>	<u>Suggested retention period</u>	<u>Method of disposal</u>	<u>Authorised by:</u>
		<u>(Inactive Period i.e. each session)</u>		<u>(Archive\Shred)</u>	
Academic Schools	General routine correspondence	N/A	Current year + 1 year	Shred	PA to Executive Director of Finance
Auditors	Audit Reports	N/A	Current year + 1 year	Shred\Delete	PA to Executive Director of Finance
Auditors	Contracts (Auditors)	Termination of contract + 1 year	Master - Termination of contract + 5 years Copy - while required for reference or superseded	Confidential Waste	PA to Executive Director of Finance
Auditors	General correspondence to/from Auditors	End of financial year	Current financial year + 6 years	Shred	PA to Executive Director of Finance
Campus Development & Accommodation	Campus Master Plan	N/A	Copies held while required for reference or superseded. Master held by Facilities Management as stipulated by FM RRS)	Copies shred	PA to Executive Director of Finance
Campus Development & Accommodation	Leases	N/A	Copies held while required for reference or superseded. Master held by Facilities Management Expiry of lease + 20 years)	Copies shred	PA to Executive Director of Finance
Campus Development & Accommodation	Campus development financial documents	N/A	Masters: Minimum retention current financial year + 6 years (Note: in some cases may be longer)	Confidential Waste	PA to Executive Director of Finance
Campus Development & Accommodation	Campus Plans	N/A	Copies held while required for reference or superseded. Master held by Facilities Management as stipulated by FM RRS)	Copies shred	PA to Executive Director of Finance

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Campus Development & Accommodation	General routine internal correspondence	N/A	While current	Shred	PA to Executive Director of Finance
Campus Development & Accommodation	Architect diagrams of accommodation	N/A	Copies - while required for reference or superseded	Masters forwarded to Estates Copies shred	PA to Executive Director of Finance
Campus Development & Accommodation	Accommodation drawings\plans	N/A	Copies - while required for reference or superseded	Masters forwarded to Estates Copies shred	PA to Executive Director of Finance
Campus Development & Accommodation	Space allocation - audit of space for calculation of UB overheads	N/A	Copies - while required for reference or superseded	Master submitted to Facilities Management Copies shred Electronic copies delete	PA to Executive Director of Finance
Complaints	Enquiries, complaints, feedback from public	N/A	Last action on Feedback + 1 year	Shred\delete	PA to Executive Director of Finance
External Committees	INTO - Agenda, Minutes and papers (Members copies)	N/A	Current year + 1 year	Shred\delete	PA to Executive Director of Finance
External Committees	GCU Company Ltd Board meetings - Agenda, Minutes and papers (Members copies)	N/A	Current year + 1 year	Shred\delete	PA to Executive Director of Finance
External Committees	SUFDG - Scottish University Finance Directors Group Agenda, Minutes, and Papers	N/A	Current year + 1 year	Shred\delete	PA to Executive Director of Finance

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	(Members copies)				
Finance	Catering Invoices	N/A	Copy retained by Principal's Group for current year + 1 year	Master copies sent to Finance Office - Copies shred	PA to Executive Director of Finance
Finance	Credit Card receipts and reconciliations	N/A	Copy retained by Principal's Group for current year + 1 year	Master copies sent to Finance Office - Copies shred	PA to Executive Director of Finance
Finance	Expenditure Transfer Form (Completed)	N/A	Copy retained by Principal's Group for current year + 1 year	Top copy sent to Finance Office - carbon copies shred	PA to Executive Director of Finance
Finance	Expenses Claim Form (completed) and receipts	N/A	Copy retained by Principal's Group for current year + 1 year	Master copies sent to Finance Office - Copies shred	PA to Executive Director of Finance
Finance	Invoices	N/A	Copy retained by Principal's Group for current year + 1 year	Master copies sent to Finance Office - Copies shred	PA to Executive Director of Finance
Finance	PG University budget info - copy of spreadsheet with financial information	N/A	Retained by Unit for reference for current session + 3 years	Master copy submitted to FO at Planning round Copies shred\delete	PA to Executive Director of Finance
Finance	University budget info - Annual Budget book (copy)	N/A	Retained by Principal's Group for reference until superseded	Shred	PA to Executive Director of Finance
Finance	TAX and Budget reference material	N/A	While current or until superseded	Shred	PA to Executive Director of Finance

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Finance	GCU Financial Regulations Reference Manual	N/A	Until superseded	Shred	PA to Executive Director of Finance
Finance	GCU Financial Procedures Reference Manual	N/A	Until superseded	Shred	PA to Executive Director of Finance
Finance	Bank Loan - Original copies of correspondence	N/A	Life of Loan + 6 years	Shred	PA to Executive Director of Finance
Freedom of Information	Freedom of Information requests - working papers\emails	N/A	Date of response + 1 year	Shred\delete	PA to Executive Director of Finance
GCU Centres\Projects	Correspondence concerning funding of Moffat Centre	When no longer required for reference	Master - Minimum. current financial year + 6 years (Note: maybe longer depending on correspondence)	Confidential Waste	PA to Executive Director of Finance
GCU Centres\Projects	Correspondence concerning funding of GOALs project	When no longer required for reference	Master - Minimum. current financial year + 6 years (Note: maybe longer depending on correspondence)	Confidential Waste	PA to Executive Director of Finance
GCU Centres\Projects	Internal Projects\Activities: General correspondence (i.e. Palestinian Nursing)	When no longer required for reference	Master - Minimum. current financial year + 6 years (Note: maybe longer depending on correspondence)	Confidential Waste	PA to Executive Director of Finance
Health&Safety/Risk/Insurance	Business Continuity Plan	N/A	Copies when superseded (Master copy Superseded + 1 year)	Shred	PA to Executive Director of Finance

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Health&Safety/Risk/Insurance	Health & Safety/Risk docs	N/A	Copies when superseded (Master copy held by H&S Superseded + 1 year)	Shred	PA to Executive Director of Finance
Health&Safety/Risk/Insurance	Incident Reports	N/A	Copies closure of investigation. Master closure of investigation + 40 years.	Confidential Waste	PA to Executive Director of Finance
Human Resources	Staff development - copy of signed PAR forms	When no longer required for routine reference	As stipulated in the University OD Guidelines	Confidential Waste	PA to Executive Director of Finance
Human Resources	Holiday Cards	N/A	Current annual leave period	Completed card submitted to HR at end of leave year	PA to Executive Director of Finance
Human Resources - Grievances \disciplinary	Notes of meetings	N/A	Master copies transferred to HR at end of process. Copies shredded	End of grievance\disciplinary process	PA to Executive Director of Finance
Human Resources - Grievances \disciplinary	Misc correspondence	N/A	Master copies transferred to HR at end of process. Copies shredded	End of grievance\disciplinary process	PA to Executive Director of Finance
Joint Consultative Committee (JCC)	JCC Agenda, Minutes\Papers (members copies)	N/A	Current year + 1 year	Shred\delete	PA to Executive Director of Finance
Joint Consultative Committee (JCC)	General correspondence	When no longer required for routine reference	Master - Current year + 20 years Copy current year + 1 year	Shred	PA to Executive Director of Finance
Joint Consultative Committee (JCC)	Documentation setting out agreements with Trade Union	Termination of agreement	Copy - Termination of agreement	Archive	PA to Executive Director of Finance

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Joint Consultative Committee (JCC)	Documentation concerning Consultation\Negotiation with Trade Union on specific issues	When no longer required for routine reference	Master - Last action on issue + 20 years Copy - current year + 1 year	Archive	PA to Executive Director of Finance
Legal Documents	Memorandum of Agreements\associations	N/A	Copy - Until no longer required for reference. Master - Termination of contractual agreement + 5 years	Masters - Review for Archive Copies - confidential waste	PA to Executive Director of Finance
Legal Documents	Procurement Contracts	N/A	Copy - while required for reference or until termination of contract. Master held by Procurement as stipulated on FO RRS)	Shred (Master copies of documentation forwarded to Procurement)	PA to Executive Director of Finance
Legal Documents	Routine correspondence with lawyers (e.g. arrangements for meetings)	N/A	While required for reference or superseded	Confidential Waste	PA to Executive Director of Finance
Legal Documents	Legal correspondence documenting legal advice (e.g. H&Safety, industrial relations)	Masters - current year + 1 year	Masters - Life of institution Copies while required for reference	Masters - Review for Archive Copies - confidential waste	PA to Executive Director of Finance
Marketing	Copies of Prospectus from other institutions	N/A	While required for reference or superseded	routine paper waste disposal	PA to Executive Director of Finance
Marketing	Copies of booklets\information leaflets from other institutions	N/A	While required for reference or superseded	routine paper waste disposal	PA to Executive Director of Finance
Presentation s	Electronic presentations	N/A	Current year + 1 year	Review for Archive	PA to Executive Director of Finance

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Quality Office	Copies of Programme Approval documents	N/A	Until programme approval process completed	Shred	PA to Executive Director of Finance
Quality Office	General routine correspondence re Academic Programme development (i.e. Meetings)	N/A	Until programme approval process completed	Shred	PA to Executive Director of Finance
SFC\Scottish Executive	General routine correspondence	N/A	Current year + 2 years	Shred	PA to Executive Director of Finance
SFC\Scottish Executive	Documentation\correspondence concerning allocation of funding	Current financial year + 2 Years	Masters - Current financial year + 10 years	Confidential Waste	PA to Executive Director of Finance
Strategic Planning documentation	University Strategic Plan (copy)	N/A	Copy retained for reference current year + 1 year	Shred\delete	PA to Executive Director of Finance
Strategic Planning documentation	HESA statistics (copy)	N/A	Copy retained for reference current year + 1 year	Shred\delete	PA to Executive Director of Finance
Strategic Planning documentation	Preparation of University Strategic Plan - working papers	N/A	Publication of plan + 1 year	Shred\delete	PA to Executive Director of Finance
Strategic Planning documentation	Preparation of University Annual Operating Budget - copy of spreadsheet with financial information	N/A	Current year + 1 year	Shred\delete	PA to Executive Director of Finance
University Committees	Executive Board - Minutes\Agendas\Papers (Members copies)	N/A	Current year + 1 year	Shred\delete	PA to Executive Director of Finance

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University Committees	Research Committee - Minutes\Agendas\Papers (Members copies)	N/A	Current year + 1 year	Shred\delete	PA to Executive Director of Finance
University Committees	Court - Agenda, Minutes and papers (Members copies)	N/A	Current year + 1 year	Shred\delete	PA to Executive Director of Finance
University Committees	Finance & General Purposes Committee (Non-Stat) - Agenda, Minutes and Papers (Members copies)	N/A	Current year + 1 year	Shred\delete	PA to Executive Director of Finance
University Committees	Misc Working Groups\ad hoc meetings - Members copies of Agendas, Minutes, Papers	N/A	Current year + 1 year	Shred\delete	PA to Executive Director of Finance
University Committees	SIG - Agenda, Minutes and papers (Members copies)	N/A	Current year + 1 year	Shred\delete	PA to Executive Director of Finance
University Committees	Audit Committee (Stat) - Agenda, Minutes and papers (Members copies)	N/A	Current year + 1 year	Shred\delete	PA to Executive Director of Finance
University Committees	Remuneration Committee (Stat) - Agenda, Minutes and papers (Members copies)	N/A	Current year + 1 year	Shred\delete	PA to Executive Director of Finance
University Executive	UE Circulars\correspondence	N/A	Copy - While required for reference.	Shred	PA to Executive Director of Finance