SOAS Retention Schedule

What is the retention schedule?

An essential part of good records management is ensuring that records are only retained for as long as they have value, including historical value. This is determined by a number of factors including business needs, legal, regulatory and statutory requirements, risk management, best practice and historical value. The retention schedule provides guidance on how long records should be kept based on these factors. Staff should refer to the SOAS retention schedule when making decisions about retaining and disposing of records.

The retention schedule lists all the major administrative records that the School creates, manages and maintains in the course of carrying out the business activities of the School. The schedule covers all SOAS records, regardless of format (e.g. paper and electronic).

How is the retention schedule developed?

As part of the current records management project information surveys are being undertaken across the School to gather more information about the major records being kept by the organisation. As a result of the findings of the surveys, discussions with staff and approval from Heads of Department, the retention schedule is being updated and then submitted for Executive Board (EB) approval at significant stages in the project. The schedule was last updated and submitted for EB approval in April 2015.

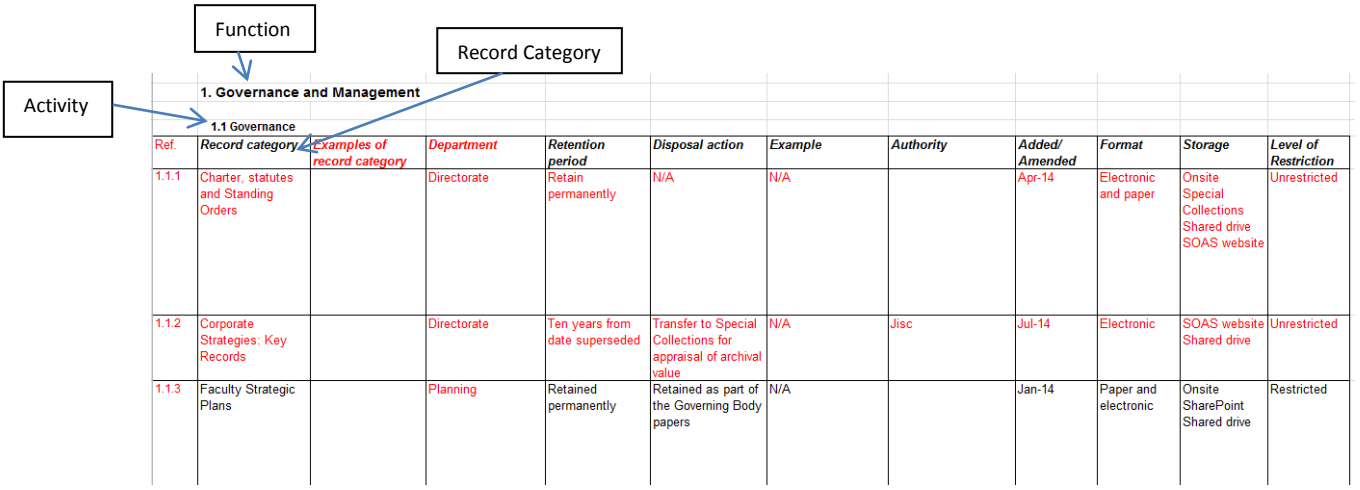
Who is responsible for implementing the retention schedule?

All SOAS staff are responsible for reviewing SOAS records which they manage in line with the retention schedule.

Directors and Deans are responsible for the maintenance, security, review and management of records owned by their department and for approving retention periods which are to be added to the retention schedule for their department.

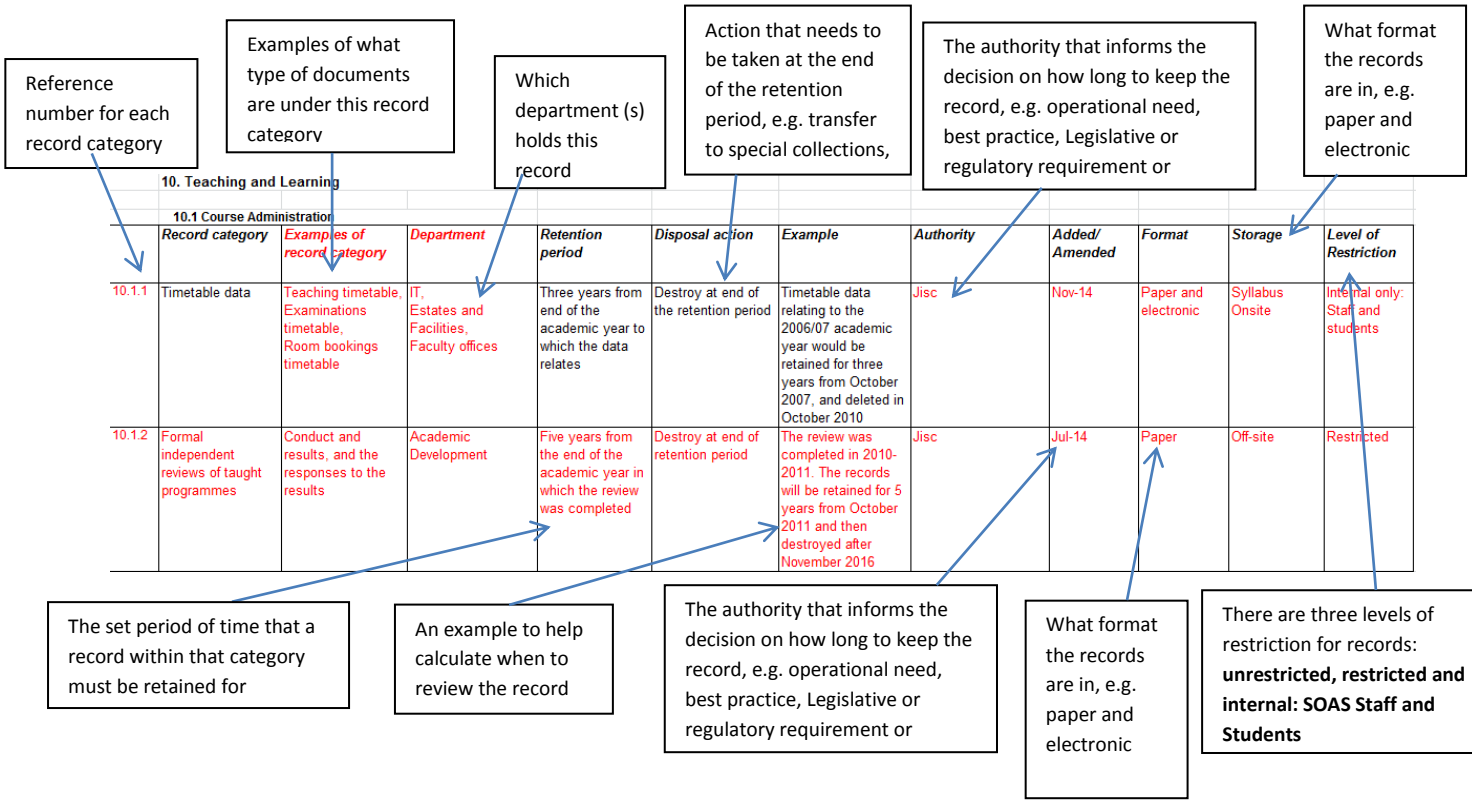
How does the retention schedule work?

The retention schedule is based on the HE JISC model retention schedule and therefore takes a functional approach rather than one based on the organisational structure of the School. This means that some of the same groups of records are created and maintained by more than one department. The records are divided by function and then by activity. Within the activity are the record categories (the different type of records) that are created and managed as part of the activity. The activity is the task that needs to be performed to complete the functions we carry out within the School in order to fulfil our responsibilities.



Ref.	Record category	Examples of record category	Department	Retention period	Disposal action	Example	Authority	Added/ Amended	Format	Storage	Level of Restriction
1.1.1	Charter, statutes and Standing Orders		Directorate	Retain permanently	N/A	N/A		Apr-14	Electronic and paper	Onsite Special Collections Shared drive SOAS website	Unrestricted
1.1.2	Corporate Strategies: Key Records		Directorate	Ten years from date superseded	Transfer to Special Collections for appraisal of archival value	N/A	Jisc	Jul-14	Electronic	SOAS website Shared drive	Unrestricted
1.1.3	Faculty Strategic Plans		Planning	Retained permanently	Retained as part of the Governing Body papers	N/A		Jan-14	Paper and electronic	Onsite SharePoint Shared drive	Restricted

The record category

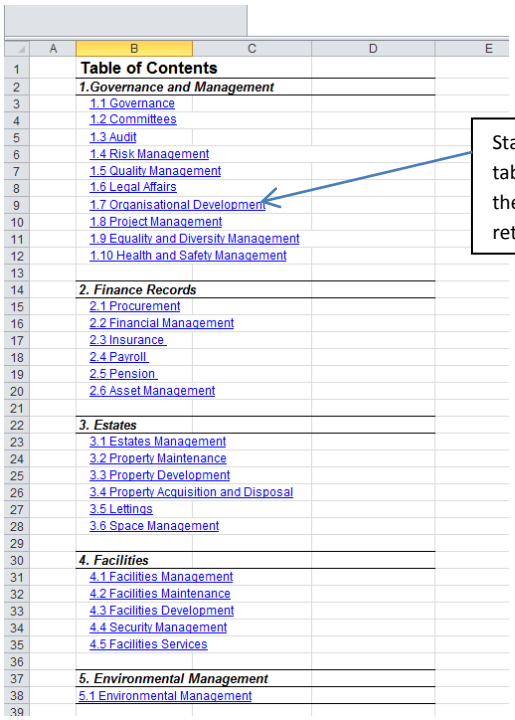


	Record category	Examples of record category	Department	Retention period	Disposal action	Example	Authority	Added/ Amended	Format	Storage	Level of Restriction
10.1.1	Timetable data	Teaching timetable, Examinations timetable, Room bookings timetable	IT, Estates and Facilities, Faculty offices	Three years from end of the academic year to which the data relates	Destroy at end of the retention period	Timetable data relating to the 2006/07 academic year would be retained for three years from October 2007, and deleted in October 2010	Jisc	Nov-14	Paper and electronic	Syllabus Onsite	Internal only: Staff and students
10.1.2	Formal independent reviews of taught programmes	Conduct and results, and the responses to the results	Academic Development	Five years from the end of the academic year in which the review was completed	Destroy at end of retention period	The review was completed in 2010-2011. The records will be retained for 5 years from October 2011 and then destroyed after November 2016	Jisc	Jul-14	Paper	Off-site	Restricted

Search Functionalities

You can search the retention schedule using one of the following ways:

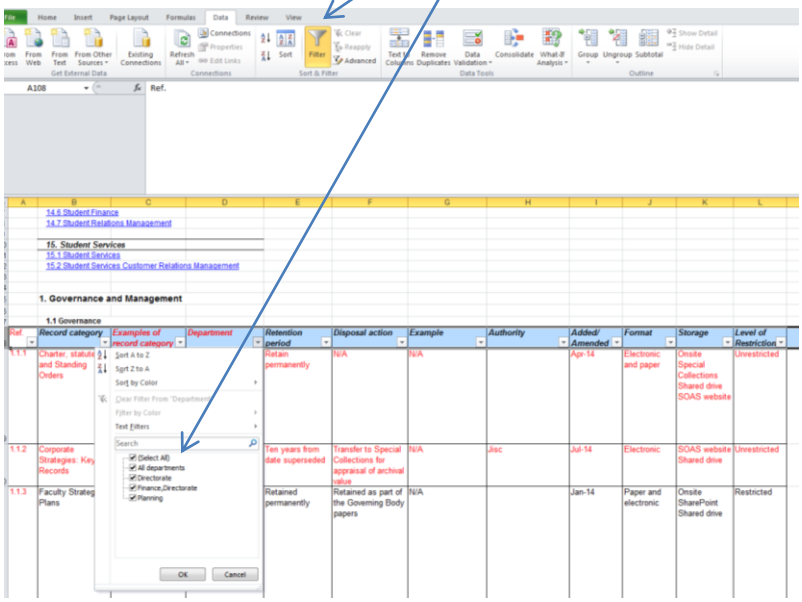
1. Select the specific activity from the table of contents:



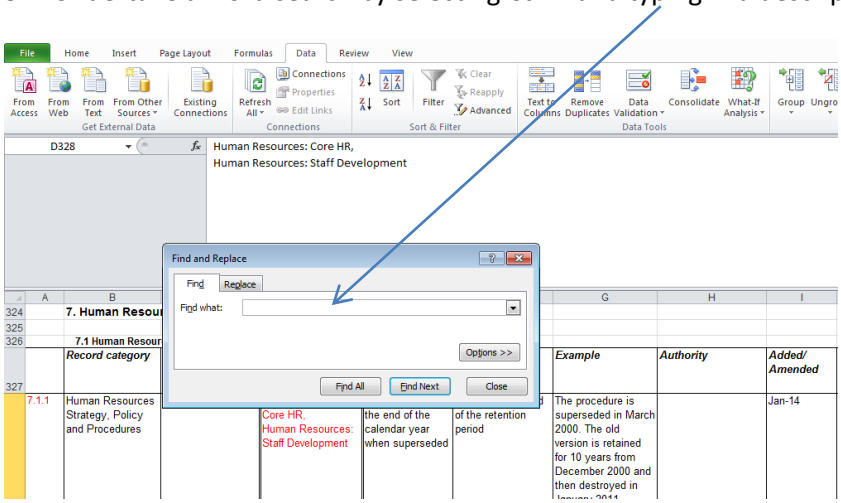
	A	B	C	D	E
1		**Table of Contents**			
2		***1.Governance and Management***			
3		1.1 Governance			
4		1.2 Committees			
5		1.3 Audit			
6		1.4 Risk Management			
7		1.5 Quality Management			
8		1.6 Legal Affairs			
9		1.7 Organisational Development			
10		1.8 Project Management			
11		1.9 Equality and Diversity Management			
12		1.10 Health and Safety Management			
13					
14		***2. Finance Records***			
15		2.1 Procurement			
16		2.2 Financial Management			
17		2.3 Insurance			
18		2.4 Payroll			
19		2.5 Pension			
20		2.6 Asset Management			
21					
22		***3. Estates***			
23		3.1 Estates Management			
24		3.2 Property Maintenance			
25		3.3 Property Development			
26		3.4 Property Acquisition and Disposal			
27		3.5 Lettings			
28		3.6 Space Management			
29					
30		***4. Facilities***			
31		4.1 Facilities Management			
32		4.2 Facilities Maintenance			
33		4.3 Facilities Development			
34		4.4 Security Management			
35		4.5 Facilities Services			
36					
37		***5. Environmental Management***			
38		5.1 Environmental Management			
39					

Staff can click on the hyperlink in the table of contents and this will take them to the relevant section of the retention schedule

2. Under the relevant activity, filter by department if you know who owns the record (please note some record categories are owned by 'all departments')



3. Undertake a word search by selecting Ctrl F and typing in a description of the record



Which documents need to be retained in line with the SOAS retention schedule?

The retention schedule only applies to the official or master version of the record (whether paper or electronic). Duplicates and convenience copies can be destroyed when no longer operationally required. Please see the Records Disposal guidelines for further advice about disposing of records.

Included in the retention schedule is a column for the '**authority**'. This states why the record needs to be kept for the period stated. This may be a piece of legislation, such as the Limitations Act 1980, or it may be for best practice reasons, such as guidance from Jisc.

The **Format** and **Storage** columns provide information about what format (i.e. paper and/or electronic) the records are in and where they are stored (e.g. the Shared Drive, Database, Off-site etc.).

The final column provides information about access to the information. There are three **Levels of Restriction:**

- **Unrestricted**: Information which is intended to be openly and publicly available
- **Internal: SOAS Staff and Students**: This is information which is intended to only be seen by SOAS staff and students
- **Restricted**: Information which is intended for use by a strictly defined group. It contains sensitive or confidential information

Advice on the retention schedule and records management more generally is available from the Corporate Records Manager and Archivist (email: ap68@soas.ac.uk).