

Records Retention Schedule

1. Governance (Company)

Ref	Class	Description	Location	Retention	Owner	Reason/Remarks
1.1	Legal Framework	Certificate of Incorporation	S:\ip\company\Operations\Governarde	Permanent	Company Secretary	CA
		Memorandum and Articles of Association (original)	Hard copies in M&A folder	Permanent	Company Secretary	Best practice
		Memorandum and Articles of Association (current)	S:\ip\company\memorandum & articles	Permanent	Company Secretary	CA
1.2	Governance Structure	Management Committee Terms of Reference	S:\ip\company\directors\directors induction pack	Permanent	Company Secretary	
		Company register – members (short & full)	S:\IP\Company\Members\Register of members	Permanent	Company Secretary	CA S352
		Company register – directors	S:\IP\Company\Operations\Governance\Directors	Permanent	Company Secretary	CA S288
		Company register – company secretary	S:\IP\Company\Operations\Governance\Directors	Permanent	Company Secretary	CA S288
		Company register – Register of Charges	S:\IP\Company\Operations\Governance\Charges	Permanent	Company Secretary	CA
1.3	Minutes & meetings	AGM minutes (signed)	S:\ip\SUMS meetings	Permanent	Company Secretary	CA (Signed hard copies in red AGM minutes folder)
		Management Committee Minutes (signed)	S:\ip\SUMS meetings	Permanent	Company Secretary	CA (Signed hard copies in MCM minutes folder)
		Executive minutes	S:\ip\SUMS meetings	Permanent	Company Secretary	
		Notices of General Meetings	S:\ip\SUMS meetings	Permanent	Company Secretary	CA
1.4	Statutory submissions	Copies of resolutions / documents filed at Companies House (for types see: https://www.gov.uk/government/collection)	S:\ip\Company\Operations\Companies House	Permanent	Company Secretary	CA

Ref	Class	Description	Location	Retention	Owner	Reason/Remarks
		s/companies-house-forms-for-limited-companies)				
		Annual Return – Companies House	S:\IP\Company\Operations\ Companies House	Permanent	Company Secretary	Best Practice
		Annual Return – Charity Commission	S:\IP\Company\Operations\ Charity Commission	Permanent	Company Secretary	Best Practice
1.5	Operations	Business Plan and Strategy	S:\ip\company\ sums_strategy	Permanent	CEO	
		Organisational structure	s:\ip\company\directors\ directors induction pack	Permanent	SUMS support	
		Risk register	s:\ip\company\operations\risk management	Permanent	Company Secretary	
		Leases (building and equipment)	S:\ip\company\operations\ leases facilities and equipment	Buildings – expiry of lease + 15 years	Head of Finance	



2. SUMS Activities

Ref	Class	Description	Location	Retention	Owner	Reason/Remarks
2.1	Assignments	Terms of Reference	S:ip\consulting\assignments	Permanent	Cons	
		Final report	S:ip\consulting\assignments	Permanent	Cons	
		Assignment Summary	S:ip\consulting\assignments	Permanent	Cons	
		Hot Topics, Good Practice Guides, Briefing Papers, Case Studies etc	S:\OPEN\OP_Marketing and Communications\Publications	Permanent	Marketing	
		Working files	Paper/n drives	3 years	Cons	See "KP16 Archiving Policy".
		Research (inc emails)	S:ip\consulting\assignments	3 years	Cons	See "KP16 Archiving Policy".
		Quality questionnaires	Paper copies: HR files Electronic copies: S:\PD\PD_HR	3 years	SUMS Support	

Ref	Class	Description	Location	Retention	Owner	Reason/Remarks
2.2	Events	Programme	S:\IP\Marketing and Communications\Events	Permanent	Marketing	
		Presentations	S:\IP\Marketing and Communications\Events	Permanent	Marketing	Speakers asked for permission to release presentation docs/photos
		Meeting Notes (if issued)	S:\IP\Marketing and Communications\Events	2 years	Marketing	Overview sent out
		Attendee Lists	S:\IP\Marketing and Communications\Events	3 years	Marketing	Also held in CMS of SUMS and SUPC websites and Eventbrite.
		Events feedback	Survey Monkey/Bristol Online Surveys	3 years	Marketing	Hard-copy – only to inform future events, then destroyed. Digital – via Survey Monkey or Bristol Online Surveys (kept indefinitely)
2.3	Tenders	Tender responses	S:\ip\consulting\tenders	Permanent	Cons	For individuals - only for the duration they are staff at our member institutions and give permission for their details to be held.
2.4	CMS	SUMS Members contacts lists	website	Only while member	Marketing	(whilst membership in place) For individuals - only for the duration they are staff at our member institutions and give permission for their details to be held.
		SUMS non-member / ex-member contacts	Website	Only while member	Marketing	

3. Financial Resources

Ref	Class	Description	Location	Retention	Owner	Reason/Remarks
3.1	Financial Statements	Directors' Report and Financial Statements	Signed hard copies in Finance cupboard	Permanent	Head of Finance	Best Practice
		Supporting audit documents and schedules	S:\ip\company\finance	7 years minimum	Head of Finance	
3.2	Management Accounts & financial analysis	Management accounts & supporting documents	S:\ip\company\finance	7 years minimum	Head of Finance	
3.3	Budgets	Yearly budgets & forecasts	S:\ip\company\finance	7 years minimum	Head of Finance	
		Payroll budgets and forecasts	S:\PD\PD Payroll	7 years minimum	Head of Finance	
3.4	Invoices	Sales invoices & supporting documentation	S:\ip\company\finance & hard copies in finance files	7 years minimum	Accounts Assistant	
		Purchase invoices, inc staff and visa expenses	S:\ip\company\finance & hard copies in Finance files	7 years minimum	Accounts Assistant	
		Purchase orders	PO book	7 years minimum	Accounts Assistant	
3.5	Fixed asset register	Register of fixed assets	S:\ip\company\finance	Permanent	Head of Finance	
3.6	Tax Returns	Corporation	S:\ip\company\finance	7 years minimum	Head of Finance	
		VAT (returns, partial exemption calcs)	S:\ip\company\finance	7 years minimum	Head of Finance	
		VAT correspondence & rulings inc CSG application, advice received on VAT treatment (e.g. grant income)	S:\ip\company\finance	Permanent	Head of Finance	

Ref	Class	Description	Location	Retention	Owner	Reason/Remarks
3.7	Insurance	Public & employer liability policies	S:\ip\company\insurance	Permanent	Head of Finance	
		Other insurance policies	S:\ip\company\insurance	Until claims under policy are barred	Head of Finance	Recommend that these are kept permanently, as claims could potentially arise well after the policy date
		Summaries	S:\ip\company\insurance	Expiry of insurance + 6 years minimum	Head of Finance	Recommend that these are kept permanently, as claims could potentially arise well after the policy date
		Renewal forms	S:\ip\company\insurance	Expiry of insurance + 6 years minimum	Head of Finance	Recommend that these are kept permanently, as claims could potentially arise well after the policy date
		Claims	S:\ip\company\insurance	3 years after settlement	Head of Finance	
3.8	Contracts	Finance leases, operating leases See HR section for employment contracts	Hard copies kept in Support Team cupboards	End of contract term + 7 years minimum	Head of Finance	
3.9	Grant documentation	Grant letters & applications	Hard copies kept in restricted fund folders	7 years from cessation of grant related activity minimum	Head of Finance	

4. Human Resources (Company)

Ref	Class	Description	Location	Retention	Owner (job title)	Reason/Remarks
4.1	Recruitment	Job descriptions – advertised posts	S:\PD\PD_HR	5 years after recruitment	Head of Administration	Reference source
		Job descriptions on personal file	S:\PD\PD_HR	6 years after superseded	Head of Administration	
		Advertising details + working papers in relation to placing of advert	S:\PD\PD_HR	1 year after completion of recruitment	Head of Administration	
		Unsuccessful candidates: application forms, CV's, references, interview notes, correspondence etc	S:\PD\PD_HR	6 mnths after completion of recruitment	Head of Administration	
		Successful candidates: application form, CV, offer and acceptance letters	S:\PD\PD_HR	6 years after termination of employment	Head of Administration	
		Equal opportunities database information	S:\PD\PD_HR	10 years	Head of Administrations	
		Records documenting pre-employment health screening of an employee	Sent directly from staff member to Occupational Health at UoR	Not held by SUMS staff. UoR hold this information		
4.2	Remuneration & reward	Records documenting pay reviews	S:\PD\PD_Payroll	7 years	Head of Finance	
		Records documenting an employee's remuneration and rewards (eg discretionary increments, promotion).	S:\PD\PD_HR	7 years	Head of Finance	Limitations Act 1980
		Monthly payroll reports from HR & annual reconciliations	S:\PD\PD_Payroll\ Salary forecasts and actuals	7 years	Head of Finance	Audit requirement

Ref	Class	Description	Location	Retention	Owner (job title)	Reason/Remarks
4.3	Disciplinarys and Grievances	Records recording grievance raised by staff, the employers response, action taken & outcome	S:\PD\PD_HR	Termination of employmnt + 7 years	Head of Administr ation	
		Records documenting disciplinary proceedings against an employee.	S:\PD\PD_HR	6 years	Head of Administr ation	
4.4	Contracts	Contracts of employment	S:\PD\PD_HR	6 years after termination of employmnt	Head of Administra tion	
		Records documenting changes to employee's terms and conditions of employment	S:\PD\PD_HR	6 years after termination of employmnt	Head of Administra tion	
4.5	Appraisals & Training	Appraisals	S:\PD\PD_HR	4 years	Head of Administra tion	
		Records documenting job-specific statutory/regulatory training requirements for an employee (eg health and safety training, fire safety training).	S:\PD\PD_HR	6 years	Head of Administra tion	
4.6	Employee administration files	Records relating to the administration of an employee's contractual holiday entitlement	S:\PD\PD_HR	7 years	Head of Administra tion	Required for audit purposes
		Records documenting an employee's absence due to sickness	S:\PD\PD_HR Recorded on website (consultants)	Current tax year + 3 yrs Permanently	Head of Administra tion	Copy sent to HR at UoR To ensure timesheets cross-tally
		Records documenting the authorisation and administration of special leave	S:\PD\PD_HR	Current year + 1 year	Head of Administra tion	
		Records documenting the authorisation and administration of statutory leave entitlements, eg parental leave	S:\PD\PD_HR – individual files (note general policies in this area should be kept permanently) UoR Payroll	7 years	Head of Administra tion	

Ref	Class	Description	Location	Retention	Owner (job title)	Reason/Remarks
		Records documenting entitlements to, and calculations of, Statutory Maternity Pay and Maternity leave	S:\PD\PD_HR	Current tax year + 3 yrs	Head of Administration	Maternity pay calculations managed by UoR. Copies are kept in HR files
		Records containing an employee's current basic personal details (e.g. address, next of kin, emergency contacts)	S:\PD\PD_HR	Once superseded	Head of Administration	
		Records documenting accident, incidents, diseases and dangerous occurrences to employees arising from accidents etc in the workplace	UoR online form	Permanent	Head of Administration UoR	Keep permanently due to H&S link
		Records documenting an employee's termination of employment	S:\PD\PD_HR Copy to UoR HR Dept & Payroll	6 years	Head of Administration UoR	
		References provided in support of an employee's application(s) for employment by another organisation	S:\PD\PD_HR	6 years	Head of Administration	
		Time sheets - Associates (payroll)	Online Hard copy	7 years	Accounts Assistant	
		Overtime forms	S:\PD\PD_HR Sent to Payroll	7 years	Head of Administration UoR	
4.7	Pension scheme administration	Records documenting the institution's relationships with pension schemes to which all or part of its workforce belongs	S:\ip\company\pensions\ Confidential information: S:\PD\PD_HR\pensions	5 years after relationship with pension scheme ends	Head of Finance	
		Routine communications with the pension schemes	S:\ip\company\pensions	5 years	Head of Finance	
		Records of individual employees' pension contributions and entitlement	UoR hold information S:\PD\PD_HR	12 years after benefit ceases	UoR	

5. External Relations

Ref	Class	Description	Location	Retention	Owner	Reason/Remarks
5.1	Regulator Relations	National Statistics	S:\ip\company\operations\office for national statistics	Permanent	Head of Finance	
		Directors' Declaration of Interests	S:\ip\company\finance\	Permanent	Head of Finance	Files kept within each year's sub-folders, within "year end"
5.2	Public Relations	Annual Report	S:\open\op_sums publications and H:\SUPC\Annual Report	Permanent	Marketing	
5.3	Client Relations	Joining and resignation letters Change of Membership level (Option 1 or 2)	S:\ip\consulting\members	Permanent	SUMS support	
5.4	Associate records	Associate contracts	S:\PD_Assoc	End of contract term + 7 years	SUMS support	
		Associate bios	SUMS website	During contract term	Marketing	

6. Regulatory records

Ref	Class	Description	Location	Retention	Owner (job title)	Reason/Remarks
6.1	Company policies	Current and historical company policies	S:\OPEN\OP_SUMS Policies	Permanent	Head of Fin	
6.2	Freedom of Information	Freedom of information requests and responses	S:\IP\Company\Data Protection & FOI	3 years	SUMS Support	



6.3	Publication Scheme	Part 2 describes the information that we routinely publish	S:\OPEN\OP_SUMS Policies\Freedom of Information	Permanent	Head of Finance	
6.4	Health & Safety	Key records	S:\IP\Company\Occupational Health & Safety	Permanent	Head of Admin	

The Purchasing Division – SUPC

7. Governance

Ref	Class	Description	Location	Retention	Owner	Reason/Remarks
7.1	Governance Structure	Council Membership Board Membership	Web	Permanent Permanent	Head of Admin	
7.2	Organisation Structure	List of Members Organisation Structure	Web As per SUMS	Permanent Permanent	Head of Admin	
7.3	Operating Context	Mission Statement Vision Statement Business Plan SUPC Procedures Commodity Groups and membership	Web Web Web H:\SUPCprocedures Web	Permanent Permanent Permanent Until superseded Until superseded	Head of Admin	

8. Activities

Ref	Class	Description	Manner	Retention	Owner	Reason/Remarks
8.1	Contracts	List of Contracts	Web	Permanent	Head of Operational Procurement	
		Contracts	H:\SUPC\contracts	ERDF guidance	Head of Operational Procurement	
8.2	Public relations	Annual Report	Web	Permanent	Head of Admin	
8.3	Framework meetings	Minutes of Commodity Group Meetings	Web	3 years	Head of Admin	
		Minutes of Supplier Review Meetings	Web	3 years	Head of Admin	
8.4	Tenders	Tender Documents	H:\SUPC Tendering Areas	Period of agreement	Head of Operational Procurement	
		Supplier tender returns	In-Tend	31/12/2025 or later as in ERDF handbook	Head of Operational Procurement	
8.5	Surveys	Supplier Feedback surveys	Web- Bristol online surveys	2 years	Head of Operational Procurement	

8.6	Events	Programme	H:\SUPC\Communications\Events	Permanent	Marketing	
		Presentations	H:\SUPC\Communications\Events	Permanent	Marketing	Speakers asked for permission to release presentation docs/photos
		Meeting Notes (if issued)	H:\SUPC\Communications\Events	2 years	Marketing	Overview sent out
		Attendee Lists	H:\SUPC\Communications\Events	3 years	Marketing	Also held in CMS of SUPC website and Eventbrite.
		Events feedback	H:\SUPC\Communications\Events	3 years	Marketing	Hard-copy – only to inform future events, then destroyed. Digital – via Survey Monkey or Bristol Online Surveys (kept indefinitely)
8.7	CMS	SUPC Members contacts lists	website	Only while member	Marketing	(whilst membership in place) For individuals - only for the duration they are staff at our member institutions and give permission for their details to be held.
		SUPC non-member / ex-member contacts	Website	Only while member	Marketing	

Procurement Shared Service

9. Governance

Ref	Class	Description	Location	Retention	Owner	Reason/Remarks
-----	-------	-------------	----------	-----------	-------	----------------



9.1	Terms of Reference	PMA Advisory Group Terms of Reference	S:sps\procurement shared service\advisory group	Permanent		
-----	--------------------	---------------------------------------	---	-----------	--	--

10. Activities

Ref	Class	Description	Location	Retention	Owner	Reason/Remarks
10.1	PMA's	PMA Letters of Engagement	Hard Copy in file and online PMA/Maturity clients	Permanent	Head of Admin/PSS	
		Procurement Maturity Assessments	AQL online	Permanent	PSS	
			PMA/Maturity clients	Permanent		
		Procurement Maturity Assessment Evidence	PMA/Maturity clients	1 year	PSS	
		Final reports (PDF and Word)	PMA/Maturity clients	Permanent	PSS	
		PMA Scores	SUPC Web site and S:sps\procurement shared service/Benchmarking and MI	Permanent	PSS	
10.2	Associates	PSS Associates CVs/Bios	SUPC Web site and S:sps\procurement shared service/Associates	Permanent	PSS	
10.3	Consulting assignments	PSS consulting reports	S:sps\procurement shared service\assignments	Permanent	PSS	
		Terms of Reference	S:sps\procurement shared service\assignments	Permanent	PSS	
10.4	Events	Programme	H:\SUPC\Communications\Events	Permanent	Marketing	
		Presentations	H:\SUPC\Communications\Events	Permanent	Marketing	Speakers asked for permission to release presentation docs/photos
		Meeting Notes (if issued)	H:\SUPC\Communications\Events	2 years	Marketing	Overview sent out



		Attendee Lists	H:\SUPC\Communications\Events	3 years	Marketing	Also held in CMS of SUPC or SUMS website and Eventbrite.
		Events feedback	H:\SUPC\Communications\Events	3 years	Marketing	Hard-copy – only to inform future events, then destroyed. Digital – via Survey Monkey or Bristol Online Surveys (kept indefinitely)
10.5	CMS	Past Clients	website	Hold current and past client details	Marketing	