



Philanthropy, Alumni and Community Engagement Retention Schedule

Records Management Policy

Version Control and Approval

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V1.0	Finalised policy copied into new format template	J Angell/S Jones/L Woodhouse	23/3/2021

Version Number	Approved by	Date
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Implementation Guidance

Principles to follow

- It is good practice to proactively dispose of records on a regular basis (at least once a year if not more frequently). This helps make the process more manageable by keeping the quantity of records in your systems/storage locations to a manageable volume. If no proactive disposal takes place then it can make carrying out a review of records complex and time consuming (typically coinciding with the need to move offices or cleanse data from a system).
- Disposal actions need to be carried out when records are no longer 'current' (for example when a student has completed their studies with the University then their records are no longer active and can be reviewed). Retention periods will start to apply once a 'trigger' has been reached. For student data this will generally be the end of their studies. It is very rare for retention periods to start from the creation of a record.
- Retention rules apply to all information regardless of its format. This means that the same retention periods should apply to paper records as well as electronic records. The only exception to this might be when data has been extracted from a paper record and input into a system (i.e. transcribing information into a database and then regarding the information in this database as 'the record'). In cases where information has been transcribed it is usually beneficial to retain the paper original for a short period of time in case of any data quality concerns over the transcribed data.
- In order to make the proactive disposal of information easier it is good practice to store information in a way that supports the eventual disposal process. Examples might include arranging folders on the X:Drive by academic year so that a retention rule can be applied at the end of year. Similarly it is best practice to avoid large spreadsheets or database that include all of a School/Department's students over multiple cohorts as this can make the eventual disposal complex and time consuming, in these cases it is best practice to have a single spreadsheet/database based on a cohort year.
- The University Archives are the corporate memory of the University. Information transferred to the archive, in paper or digital form, is preserved permanently for staff, students, alumni and non-members of the University community to research within (subject to Information legislation). The Archives and Special Collections pages on the Library website tell you more about what we want to collect and how to transfer records, or you can [email the team](#) with any questions.

Where to go for more information

- For information on student data held locally please contact the relevant school or departmental Operations Manager in the first instance.
- For any queries about retention periods that are not covered by this retention schedule or records management in general please contact [Records Management](#).

Principles specific to PACE data

Data should be categorised according to whether it is:

- 1) Relevant to the ongoing relationship
- 2) Not relevant to the ongoing relationship
- 3) Non-personal information e.g. office administration leading up to publication of a magazine

Retention periods should be set based on the above categorisation, where:

- 1) Data of relevance to the ongoing relationship should be retained, *so long as it maintains relevance*
- 2) Data of no relevance to the ongoing relationship should be deleted in line with legal/statutory timescales or JISC recommended practice
- 3) Office administration should be kept for as long as it is of use and considered to be offered to Archives when no longer of use.

Of particular interest is the category of data which is relevant to the ongoing relationship with a graduate or supporter. Occasionally such data may be entangled with data that is not of relevance. In such cases, the relevant data will be extracted and placed into a data vehicle which will enable it to be retained and the non-relevant data to be destroyed. For example, the fact that a graduate contacted us with comments on the alumni magazine is important – the details of the comments less so. Retaining the date of contact and type of contact is of relevance to our ongoing relationship and our ability to analyse alumni relations activity, but the precise details of the communication are irrelevant (apart from guiding our response to those comments).

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1. Alumni Administration

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
1.1	Maintaining and administering a register of Alumni, in line with the Royal Charter	Biographical details (Name, age) + courses completed (inc. dates).	Permanent	Business Requirement	Stored in Raiser's Edge
1.2	Demographic and other screening of alumni and supporter records to better target and segment alumni and supporter relations activity	Mosaic/wealth screening	3 years from last activity	Business Requirement	X:Drive; Raiser's Edge



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Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
1.3	Stay in touch forms/other forms	Paper based forms and online forms	Destroy 3 years after receipt of information	Business Requirement – forms contain consent information	Hard copy and electronic forms (information added to Raiser's Edge)
1.4	Correspondence received from alumni	General Enquiries	Destroy 1 year from receipt (anything of relevant interest retained in Raiser's Edge and offered to archives)	Business Requirement	Information uploaded to Raiser's Edge
1.5	Summary (anonymised) statistical records of alumni	Demographics	Current year +10 years	Business Requirement/JISC Guidance	X:Drive
1.6	Records documenting the handling of complaints from alumni (and supporters)	Correspondence and responses	Last action on complaint + 6 years (longer, determined on case-by-case advice, if complaint could be basis of legal action)	Business Requirement/JISC Guidance	Raiser's Edge record and X:Drive

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2. Event Administration

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
2.1	Event promotional materials	Brochures	Retain for 5 years then offer to archives	Business Requirement	
2.2	Planning and evaluating the impact of events (excluding financial information)		3 years from the conclusion of the event	Business Requirement/ JISC Guidance	
2.3	Organisation and administration of events (excluding financial information)	Dietary requirements Attendee information Seating Plans 3 rd Parties (i.e. venue) Briefings Badge templates Mail merge invites	1 year from conclusion of event	Business Requirement/ JISC Guidance	Stored in Raiser's Edge and corresponding X:Drive events folder

3. Income generation and donations

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
3.1	Administering fundraising projects supported by PACE	Project outlines	7 years from conclusion of project	Financial Regulations	
3.2	Donations	Donation forms (paper) Record of donation on Alumni record	Paper forms/remittance advice – 7 years from financial year after donation made	Financial Regulations Statistical/historic reporting	Tambour unit Archives Raiser's Edge



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Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
			Gift records on supporter records – permanent		
3.3	Disbursal of philanthropic funds	Journals and correspondence relating to disbursal of funds	7 years from disbursal	Business requirement	X:Drive

4. Market Research

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
4.1	Planning and administering alumni surveys	Process of designing survey	1 year from creation of survey	Business Requirement/ JISC Guidance	
4.2	Analysing the results of alumni surveys	Final report and recommendations for action	10 years from conclusion of survey	Business Requirement	Consider offering to Archivist

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5. Governance

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
5.1	Administering official voluntary boards, which are managed by PACE	Agendas Administration Presentations (meetings/AGM) Emails	2 years from meeting	Business Requirement	Stored in Raisers Edge Stored on X:Drive
5.2	Recording decisions made by voluntary boards	Minutes of Philanthropy Advisory Board	Permanent. Offer to Archives	Business Requirement	Stored on X:Drive and then transferred to Archives and Special Collections after 5 years

6. Communications

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
6.1	Mass e-communications with alumni	Paternoster Departmental Updates Event invitations	Destroy 2 years after communication	Business Requirement	Stored on X:Drive Online Express/Dotmailer
6.2	Mass e-communications with alumni	Direct Departmental updates	Destroy 1 year after task completed	Business Requirement	Online Express/Dotmailer
6.3	The process of creating Alumni publications	Draft Articles Draft Proofs Email Communications Class Notes Quotes/costs	Destroy 3 years from end of administrative use	Business Requirement	X:Drive

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Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
6.4	Published alumni publications	Gryphon	Permanent. Offer to Archives	Business Requirement	X:Drive; website
6.5	Postal mailing of alumni publications, invitations and letters	Mailing Lists Letter Mail Merges	? Keep for 1 year to allow checks	Business Requirement	X:Drive

7. Online (website)

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
7.1	Alumni profiles featured on website 'alumni through the ages'		Delete after two years (keep relevant information)		Website Stored on X:Drive Relevant information stored in graduate's Raiser's Edge record

8. Prospect Research, Prospect Management and Due Diligence

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
8.1	Prospect Affinity and Capacity Rating (Individuals, Trust and Foundations, Corporates)	Affinity A, B, C, D, D+ Capacity 1-10	Retained while current prospect.	Prioritisation of Major Giving prospect pool	Raisers Edge



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Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
			<p>Reviewed and updated at least every three years.</p> <p>Delete and keep in anonymised format for evaluation purposes for 3 years</p>		
8.2	Prospect Proposals / Opportunities	Opportunity / Proposal tab / tile on Raisers Edge	Permanent record retained.	Relationship building, Statistical Analysis	Raisers Edge
8.3	Profiles	<p>Full Profiles</p> <p>Mini Biographies (eg for events)</p> <p>Index Notes</p>	<p>Retained for 3 years from last review / update while current prospect</p> <p>Reviewed and updated at least every three years.</p> <p>Deleted as soon as prospect is removed or if older than three years.</p>	Business Requirement	<p>X:Drive</p> <p>Full profile (document)</p> <p>Mini Biography (document)</p> <p>Raisers Edge</p> <p>Full profile (record)</p> <p>Index Note</p>
8.4	External Press and Media Clippings	Press & Media Note Type within Raisers Edge 'Notes'	Retained for 5 years after clipping is saved.	Relationship building, Briefing writing	Raisers Edge

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Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
8.5	Due Diligence	<p>Due Diligence Report (Potential donors, Potential Naming, Honorific nominees, Prize Awardees, Proposed volunteer board members)</p> <p>Due Diligence Attributes (Due Diligence Decisions)</p>	<p>Honorific – Retained while active + 7 years</p> <p>Naming – As long as naming is still active + 7 years</p> <p>Prize Awardees – Review after 7 years from award.</p> <p>Volunteer Board Members. Retained while active + 7 years</p> <p>Donor – 7 years from last activity pertaining to gift.</p> <p>Rejected – 7 years from date of decision.</p> <p>Due Diligence Attributes – 5 years</p>	Protecting University reputation	<p>X:Drive Due Diligence Report (document)</p> <p>Raisers Edge Due Diligence Report (record) Due Diligence Attributes</p>
8.6	Prospect Cultivation Administration	<p>Meeting Report</p> <p>Cultivation Plans</p>	Full Report retained while active prospect	Relationship building	<p>Raisers Edge Record uploaded to action 'attachments'</p>



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Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
			Report retained for 1 year after removal as prospect Action information (date, action type) retained permanently		X:Drive Document stored within individual's folder