Finance and Commercial Advice note for Departments

Guidance on ... document retention (Procure 2 Pay process)
Note: this Advice Note is a supplement to the University Records Management Policy here.

What does this Policy apply to?
The policy applies to all records regardless of physical media or format, created, received or held as a result of carrying out the functions, activities and transactions of the University of Sheffield.

Records can include, but are not limited to, paper based documents and files, electronic content such as email, word processed documents, pdf files, spreadsheets, presentations, databases, photographs in either electronic or hard copy format.

Who does the Policy apply to?
The policy applies to all staff employed by the University of Sheffield. This includes all permanent and temporary employees, and contractors, consultants and secondees.

Roles and responsibilities
Whilst University employees do not ‘own’ records relating to University functions and activities they do have responsibilities for managing them. Individual Heads of Departments have responsibility for ensuring that local procedures are in place and that records management is carried out in accordance with those procedures.

Standards and definitions

Definition of a record
Records are defined as ‘information created, received, and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transaction of business.’ Records should have:

- **Authenticity**
  An authentic record is one that can be proven to be what it purports to be, to have been created or sent by the person purported to have created or sent them, and to have been created or sent at the time purported.

- **Reliability**
  The contents of a record should be trusted as a full and accurate representation of the activities or transactions to which they relate. Records must be sufficient in content, context and structure to reconstruct the relevant activities and transactions that produced it.

- **Integrity**
  The integrity refers to it being complete and unaltered. A record should be protected against unauthorised alteration. Any authorised annotation, addition or deletion to a record should be explicitly indicated and traceable.

- **Usability**
  A useable record is one that can be located, retrieved, presented and interpreted.

- **Secure storage**
  Records must be securely maintained to prevent unauthorised access, alteration, damage or removal. They must be stored in a secure environment, the degree of security reflecting the sensitivity and importance of the contents. Where records are migrated across changes in technology, the University must ensure that the evidence preserved remains authentic and accurate.
Capture and control of records
All records created or received by staff during the course of University business are to be captured into appropriate record-keeping systems. Records should be captured as soon as possible after creation so that they are readily available to support the University’s business.

All business applications (including myPurchase and uBASE) that store records must be designed to ensure that the integrity of the records and the qualities highlighted above and their associated metadata is managed and retained for the retention period of the records contained in the business application.

Storage and handling of records
Records should be stored on media that ensures the above qualities set out for University records for as long as they are required. Storage conditions and handling processes should be designed to protect records from unauthorised access, loss or destruction and from theft and disaster.

Access to records
Access to records is governed by the nature of the content, the statutory and regulatory framework within which the University operates and the business needs and requirements of the University. The University must take into account these three elements and develop an appropriate framework that will protect records from unauthorised access, disclosure, deletion, alteration and destruction.

Tracking of records
Tracking is required to ensure retrieval, prevent the loss of records, monitor use, maintain security and audit transactions. Systems should be set up in departments to ensure such an audit trail.

Disposal of records
Disposition is the process of deciding whether to keep, move or destroy records. The authority to do this is set out within the retention and disposal schedules. Local working practices must adhere to retention schedules that clearly indicate the type of record, how long they should be retained for, and the trigger mechanisms for determining the start and finish of the retention period. Destruction must always be appropriately authorised and recorded.

How this applies to the Procure to Pay process
As a general rule of thumb all documents should be retained for six financial years PLUS the current financial year (the University of Sheffield Financial year is 1 August to 31 July). Electronic versions of the documents created in myPurchase and uBASE systems are retained automatically within the system (including an electronic back up) and departments are NOT required to retain printed versions of this information to comply with the document retention policy.

The Document Retention and Disposal Schedule for each specific document type in the Procure 2 Pay process is shown below at Appendix I.

Contacts for help on Document Retention for the Procure 2 Pay process
For advice and general queries about the Procure 2 Pay process, including tendering and quotes please email procurement@sheffield.ac.uk.

For myPurchase or uBASE system help contact mypurchaseubase@sheffield.ac.uk, or help and discussions can also be found in uSpace here.
## Procure 2 Pay: Document Retention and Disposal Schedule

All documents shown below should be disposed of after six financial years PLUS the current financial year of the date they were created (the University of Sheffield Financial year is 1 August to 31 July). **NOTE:** If the retention method shown is Y (Yes) for myPurchase or uBASE then this will be retained automatically and no further print outs or copies are required at departmental level.

<table>
<thead>
<tr>
<th>Document</th>
<th>myPurchase/uBASE</th>
<th>Paper copy</th>
<th>Additional copy required?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Shopping cart</td>
<td>Y</td>
<td>N</td>
<td>N</td>
</tr>
<tr>
<td>Requisition</td>
<td>Y</td>
<td>N</td>
<td>N</td>
</tr>
<tr>
<td>Budget approval email sent from myPurchase</td>
<td>Y</td>
<td>N</td>
<td>N</td>
</tr>
<tr>
<td>Cart rejected email (sent from myPurchase)</td>
<td>Y</td>
<td>N</td>
<td>N</td>
</tr>
<tr>
<td>Purchase Order</td>
<td>Y</td>
<td>N (Print out can be generated to fax order but copy not required for document retention)</td>
<td>N</td>
</tr>
<tr>
<td>Quotes</td>
<td>Y (if attached to requisition)</td>
<td>Y – if original document was received on paper copy</td>
<td>Y – if original document was received electronically but not attached to requisition</td>
</tr>
<tr>
<td>Tenders</td>
<td>N</td>
<td>N</td>
<td>Y – retained by Procurement</td>
</tr>
<tr>
<td>Import and shipping documents (including communication arranging import, customs documents and courier papers)</td>
<td>N</td>
<td>Y - if original document was received on paper copy</td>
<td>Y - if original document was received on paper copy</td>
</tr>
<tr>
<td>Goods Receipt Note (including supplier advice notes, booking confirmations, delivery notes, e-receipts, order confirmation note, supplier letter, email or handwritten note asking for a receipt for items without formal documentation)</td>
<td>N</td>
<td>Y – if original document was received on paper copy</td>
<td>Y – if original document was received electronically (including email requests to receipt item without a delivery note)</td>
</tr>
<tr>
<td>Supplier Invoices</td>
<td>N</td>
<td>Y - retained by Payments</td>
<td>Y - retained by Payments</td>
</tr>
<tr>
<td>Supplier Credit Notes</td>
<td>N</td>
<td>Y - retained by Payments</td>
<td>Y - retained by Payments</td>
</tr>
<tr>
<td>Written authorisation to change a Purchase Order (budget holder or delegate)</td>
<td>N</td>
<td>Y - if original document was received on paper copy</td>
<td>Y - if original document was received on paper copy</td>
</tr>
<tr>
<td>Written authorisation to pay an increased invoice cost (budget holder or delegate)</td>
<td>N</td>
<td>Y - if original document was received on paper copy</td>
<td>Y - if original document was received on paper copy</td>
</tr>
<tr>
<td>Departmental confirmation to payments to pay increased invoice cost</td>
<td>N</td>
<td>N</td>
<td>Retained by Payments</td>
</tr>
<tr>
<td>Documents relating to contracts after tender awarded</td>
<td>N</td>
<td>Y – retain in department (if applicable)</td>
<td>Y – retain in department (if applicable)</td>
</tr>
</tbody>
</table>