

## Faculty of Arts and Humanities Records Retention Schedule (RRS)

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This document defines the records retention schedule for records held and owned by the Faculty of Arts and Humanities, and is based on the JISC Higher Education Business Classification Scheme and Records Retention Schedules<sup>1</sup>. Further information about RRSs and their structure including the descriptions of the column headings are available on the UEA website.<sup>2</sup>

### Version history

Version	Date	Note
0.1	July 2012	Draft for the purpose of an information audit
0.2	January 2013	Draft for Faculty review and approval
0.3	February 2013	Final and first publication
0.4	November 2013	Annual Review

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**At the end of the retention period the record will be treated as confidential waste and destroyed unless otherwise indicated.**

**Records held in other offices on behalf of HUM are to be treated in accordance with the RRS of that office.**

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<sup>1</sup> <http://bcs.jiscinfonet.ac.uk/he/default.asp>

<sup>2</sup> <http://www.uea.ac.uk/is/strategies/infregs/Records+management/RRS>

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## Business Area Strategy, Policy and Procedures

Activity	Record group	Retention period	Authority	Notes
Strategy Development	Records documenting the development and establishment of the institution's strategy relating to this business area.	Superseded + 10 years	NA	Linked to Corporate and Faculty Plans  Review for archival value
Policy Development	Records documenting the development and establishment of the institution's policies for this business area.	Superseded + 10 years	NA	
Procedure Development	Records documenting the development of the institution's procedures relating to this business area.	Issue of procedures + 1 year	NA	
School Management Records	Records documenting the development and establishment of School Plans.	Superseded + 5 years	NA	Linked to Faculty Plans
	Records documenting the development and establishment of School Policies.	Superseded + 5 years	NA	
Management Information Analysis & Reporting	Management information reports	Current year + 3 years	NA	

## Corporate Planning and Performance Management

Note: Information also held by the Vice-Chancellor's Office (VCO) and Planning (PLN).

Activity	Record group	Retention period	Authority	Notes
Operational Performance Management	Records documenting benchmarking exercises with other comparable institutions.	Current + 1 year	NA	Linked to the Corporate Plan
	Records documenting performance monitoring and analysis.	Current year + 1 year	NA	
	Records documenting the development of the institution's key performance indicators.	Superseded	NA	
Strategic Performance Management	Records containing data on, and analyses of, the institution's performance against its strategic plan.	Current academic year + 5 years	NA	Linked to the Corporate Plan
	Records containing reports on the institution's performance against its strategic plan.	Current academic year + 10 years	NA	

## Risk Management

Note: Information also held by the Vice-Chancellor's Office (VCO)

<b>Activity</b>	<b>Record group</b>	<b>Retention period</b>	<b>Authority</b>	<b>Notes</b>
Business Continuity Planning	Records documenting the formulation, testing and maintenance of disaster response and recovery plans in relation to this business area.	Superseded + 1 year	NA	Linked to the University's Business Continuity Plans.
Risk Identification & Assessment	Records documenting identified risks to this business area and assessments of those risks.	Superseded + 1 year	NA	Linked to the University's Risk Register

## Faculty and School Governance

Activity	Record group	Retention period	Authority	Notes
Committee Administration	Records documenting the appointment/election/designation of members of a committee.	Termination of membership + 6 years	1980 c. 58 s 5	Faculty Executive SCVA Board School Board Promotions Committee Teaching Committee Research Committee Staff Student Liaison Committee
	Records documenting the arrangements for meetings of a committee.	Current year + 1 year	NA	
	Records documenting the conduct of the business of a committee: agenda, minutes and supporting papers.	Life of committee + 5 years	NA	
	Records documenting the conduct of the business of a committee: correspondence and other records relating to the preparation of committee business or to actions to be taken (or not taken) as a result of committee decisions.	Current year + 5 years	NA	
	Records documenting the development and establishment of the terms of reference, and the rules and procedures, for a committee.	Life of committee + 6 years	1980 c. 58 s 5	

## Estates and Facilities Management

Note: Information also held by the Estates Division (EST).

### Estate management

Activity	Record group	Retention period	Authority	Notes
Space Management	Records documenting the conduct and outcomes of space audits.	Completion of subsequent audit + 5 years	NA	
	Records documenting the allocation and distribution of Faculty managed space.	Superseded	NA	

### Facilities management

Activity	Record group	Retention period	Authority	Notes
Facilities Compliance Management	Original licences and certificates	Superseded	NA	Premises licences (Music and Drama space)
Facilities Maintenance	Records documenting the carrying out of minor maintenance works within the Faculty.	Current year + 5 years	NA	



## Events Planning (Public relations management)

Activity	Record group	Retention period	Authority	Notes
Public Events Management	Records documenting the organisation and administration of public events. No personal information about attendees is retained.	Completion of event + 3 years	NA	Literary Festival School Conferences and other Public Events
	Records documenting the planning and impact/results of public events. This includes the recording of attendance stats, income and expenditure. No personal information about attendees is retained.	Completion of event + 10 years	NA	

## Archives Management: East Anglian Film Archive

The Archive is funded by the University, along with grants from the AHRC and Heritage Lottery Fund (HLF). The majority of its resources are not owned by the University and cannot be used for commercial purposes.

Activity	Record group	Retention period	Authority	Notes
Archives Access Control	Records documenting requests for access to archives.	Last action on request + 1 year	NA	
Archives Acquisition	Records documenting the accessioning of records acquired for preservation as archives.	Life of archives	NA	
	Records documenting the appraisal, selection and acquisition of records for preservation as institutional archives.	Life of records	NA	
	Records documenting the development and establishment of the selection criteria for records to be preserved as archives.	Life of archives	NA	
Archives Conservation	Records documenting conservation work undertaken on items in the archives.	Life of records	NA	
Archives Disposal	Records documenting authorisation for the disposal of de-accessioned records.	Completion of disposal process + 6 years	1980 c. 58 s 5	
Archives Organisation & Description	Records containing the descriptions of the records held as archives.	Life of records	NA	
	Records documenting the development of	Life of records	NA	

Activity	Record group	Retention period	Authority	Notes
	the institution's standard descriptive model for its archives.	described using the model		
	Records documenting the institution's scheme of arrangement for its archives.	Life of records arranged according to the scheme	NA	
Archives Promotion & Exploitation	Records documenting enquiries about (items in) the archives, and the responses provided.	Last action on enquiry + 5 years	NA	
	Records documenting loans of items from the archives to third parties.	Termination of loan + 6 years	1980 c.58 s 5	
	Records documenting the design and distribution of promotional materials to raise awareness and encourage use of (items in) the archives.	Superseded	NA	
	Records documenting the development and maintenance of specialised finding aids to promote and facilitate access to (items in) the archives.	Superseded	NA	
	Records documenting the selection and use of items from the archives by institutional staff (e.g. for teaching events, publications, exhibitions).	Current + 5 years	NA	
	Records documenting the selection and use of items from the archives by third parties (e.g. for exhibitions, publications, television programmes)	Last action on project + 5 years	NA	

<b>Activity</b>	<b>Record group</b>	<b>Retention period</b>	<b>Authority</b>	<b>Notes</b>
Archives Storage & Handling	Records documenting the monitoring and control of the storage of archives.	Current year + 1 year	NA	
	Records documenting the movement of archives from/to storage.	Return of items + 1 year	NA	

## Teaching and Quality Assurance (Taught Programmes)

Note: Information also held by Learning and Teaching Services (LTS) and Planning (PLN).

Activity	Record group	Retention period	Authority	Notes
Academic Programme Co-ordination	Records documenting the administration of academic programmes	Current academic year + 3 year	NA	
	Programme structures and developments	Current academic year + 5 years	NA	New Course proposals
Taught Programme Delivery	Records documenting the planning and conduct of teaching and learning events.	Current academic year + 1 year	NA	
	Records documenting the preparation of teaching and learning materials.	Current academic year + 1 year	NA	Dossiers; Reading Lists etc.
Taught Programme Development	Records documenting the design and development of (modules of) taught programmes.	Life of programme + 10 years	NA	
	Records documenting the process of obtaining approval and/or accreditation for (modules of) taught programmes from professional, statutory or other accreditation bodies.	Life of programme	NA	
Taught Programme Review	Records containing (anonymised) summaries and analyses of routine solicited feedback on taught programmes from staff, examiners and students.	Current academic year + 5 years OR Life of course + 1 year	NA	In accordance with institutional policies governing module review
	Records containing reports of routine internal	Current academic year	NA	

Activity	Record group	Retention period	Authority	Notes
	reviews of taught programmes.	+ 5 years		
	Records documenting routine solicited feedback on taught programmes from staff and examiners: individual feedback.	Current academic year + 5 years OR Life of course + 1 year	NA	
	Records documenting routine solicited feedback on taught programmes from students: individual feedback.	Completion of analysis of feedback	NA	
	Records documenting the conduct and results of formal independent reviews of taught programmes, and the responses to the results.	Current academic year + 5 years	NA	
Taught Student Monitoring & Support	Records documenting feedback on academic progress, and general academic guidance and support, given to individual taught students.	Completion of student's programme + 6 years	1980 c. 58 s 5	Held by academic advisers
Teaching Quality & Standards Management	Records documenting the conduct and results of external reviews and audits of teaching quality and standards.	Current academic year + 5 years	NA	External examiners reports
	Records documenting the conduct and results of formal internal reviews of teaching quality, and responses to the results.	Current academic year + 5 years	NA	In accordance with the Peer Review Process

## Students

### Student Assessment Administration (Taught Programmes)

Note: Information also held by Learning and Teaching Services (LTS) and Planning (PLN)

Activity	Record group	Retention period	Authority	Notes
Assessment Administration	Records monitoring the local production of examination papers and examination scripts.	Current academic year + 1 year	NA	
	Completed Course Tests and Exam Scripts.	For duration of student's studies + 1 year	NA	
Examination Board Administration	Records documenting liaison with external examiners on administrative matters.	Current academic year + 1 year	NA	
External Examiner Administration	Record documenting liaison with external examiners on administrative matters.	Current academic year + 1 year	NA	
	Records documenting the selection and appointment of external examiners.	Termination of appointment + 1 year	NA	

### Student Registration, Progress and Records

Note: Information also held by Learning and Teaching Services (LTS), Planning (PLN), Partnerships, PGR, Equality and Diversity (PPE) (PGR awards).

Activity	Record group	Retention period	Authority	Notes
Student Progress Administration	Records documenting the academic progress of individual students and formal action taken by the Head of School to deal with unsatisfactory progress.	Termination of relationship with student + 6 years	1980 c. 58 s 5	

Activity	Record group	Retention period	Authority	Notes
Student Records Administration	Records containing personal data on individual students	Minimum requirement varies for different types of personal data. Recommended maximum retention: End of 'registered student' relationship with institution + 6 years	1980 c. 58 s 5	See Guidance on Retention of Student Records.  Held by academic advisers during period of study and for referencing purposes post study.
	Records containing standard analyses of data from individual students' records.	Current academic year + 5 years	NA	
Student Registration	Records containing summaries and analyses of data on registration of students on programmes	Current academic year + 5 years	NA	
	Records documenting the registration of individual students on programmes.	Termination of student relationship + 6 years	1980 c. 58 s 5	For attendance monitoring purposes.

## Student Support

Note: Information also held by Learning and Teaching Services (LTS) and Partnerships, PGR, Equality and Diversity (PPE) (for PGR).

Activity	Record group	Retention period	Authority	Notes
Student Induction	Records documenting the administration of induction programmes and events for new students.	Current academic year + 1 year	NA	
	Records documenting the design, conduct and review of induction programmes for	Completion of induction programme + 5 years	NA	



Activity	Record group	Retention period	Authority	Notes
	new students.			

### Student financial support administration

Note: Information also held in the Dean of Students Office (DOS).

Activity	Record group	Retention period	Authority	Notes
Bursaries Administration	Records documenting the award of bursaries to individual students.	Current financial/academic year + 6 years	1980 c. 58 s 5	
Prizes Administration	List of prize winners	While prize is awarded	NA	
	Records documenting nominations for prizes, the consideration of nominations and notifications to recipients of prizes.	Current academic year + 5 years	NA	
Scholarships and Fellowships Administration	Records documenting the award of scholarships and fellowships to individual students.	Current financial/academic year + 6 years	1980 c. 58 s 5	

### Student relations management

Note: Information also held in the Dean of Students Office (DOS) and Planning (PLN)

Activity	Record group	Retention period	Authority	Notes
Student Communications Management	Records documenting the establishment and operation of staff-student liaison committees.	Life of committee + 3 years	NA	
	Records documenting the operation of staff-student liaison committees.	Current academic year + 3 years	NA	

Activity	Record group	Retention period	Authority	Notes
	Results of student surveys: summaries and analyses of responses	Completion of survey + 5 years	NA	NSS PTES PRES

## Research

Note: Information also held by Research and Enterprise Services (REN).

Activity	Record group	Retention period	Authority	Notes
Research Design & Planning	Records documenting the design and planning of research projects which are not undertaken.	Abandonment of plans + 1 year	NA	Retention for a longer period may be advisable, depending on the reasons for abandoning the project.
	Records documenting the design and planning of research projects which are undertaken: key records.	Completion of project + 10 years	NA	This recommended retention period is in line with retention period for records documenting the conduct of research.
	Records documenting the design and planning of research projects which are undertaken: working papers.	Completion of project	NA	

## Research programmes

Note: Information also held by Partnerships, PGR, Equality and Diversity (PPE).

Activity	Record group	Retention period	Authority	Notes
Research Programme Development	Records documenting the development of the Faculty's research programmes.	Life of programme + 10 years	NA	
	Records containing data on, and analyses of, student numbers and other programme statistics.	Current academic year + 3 years	NA	Current year + 5 years in PGR office
Research Programme Review	Records containing reports of routine internal reviews of research programmes.	Current academic year + 5 years	NA	
	Records documenting the conduct and results of formal independent reviews of	Current academic year + 5 years	NA	

Activity	Record group	Retention period	Authority	Notes
	research programmes, and the responses to the results.			
	Records documenting academic advice and guidance to individual students on the selection of research subjects and on the progress and standard of their work.	Completion of student's programme + 6 years	1980 c.58 s 5	Annual review

## Finance

Note: Information also held by the Central Finance Division (FIN).

### Finance management

Activity	Record group	Retention period	Authority	Notes
Financial Planning & Budgeting	Records documenting the monitoring of income and expenditure against annual operating budgets, and action taken to deal with variances.	Current financial year + 1 year	NA	
	Records documenting the preparation of annual operating budgets.	Current financial year + 1 year	NA	
Funding Management	Records documenting the administration of scholarship funds.	Current financial year + 6 years	1980 c. 58 s 5	
Internal Accounting	Records documenting the processing of internal accounting transactions between operating units (i.e. cross-charges).	Current financial year + 1 year	NA	

### Procurement

Activity	Record group	Retention period	Authority	Notes
Purchasing	Goods Received Notes/Goods Inwards Notes	Current financial year + 6 years	1980 c. 58 s 5 HMRC 700/21 para. 5.2	
	Purchase Orders	Current financial year + 6 years	1980 c. 58 s 5 HMRC 700/21 para. 5.2	
	Records documenting internal authorisation for procurement.	Current financial year + 1 year	NA	

## Personnel

### Equality and diversity management

Note: Information also held by Partnerships, PGR, Equality and Diversity (PPE) (students) and Human Resources (HRD) (staff).

Activity	Record group	Retention period	Authority	Notes
Equality & Diversity Training	Records documenting the development and delivery of training on equality and diversity issues and procedures.	Current year + 5 years	NA	

### Human resources management

Note: Information also held in Human Resources (HRD).

Activity	Record group	Retention period	Authority	Notes
Employee Contract Management	Records containing employee's basic personal details (e.g. address, next of kin, emergency contacts).	Superseded	NA	Primary records held by HRD  Local copies retained by relevant Line Managers for reference and reporting purposes.
	Records relating to the administration of the employee's contractual holiday entitlement.	Current year + 1 year	NA	
	Records documenting the authorisation and administration of special leave, e.g. compassionate leave, study leave	Current year + 1 year	NA	
	Records documenting the authorisation and administration of statutory leave entitlements, e.g. parental leave.	Completion of entitlement + 6 years	SI 1999/3312	
	Records documenting the employee's	Termination of	IR CA30	

Activity	Record group	Retention period	Authority	Notes
	absence due to sickness.	employment + 40 years		
	Records documenting the employee's initial application for employment with the institution and supporting documentation supplied by third parties (e.g. references, Criminal Records Bureau checks).	Termination of employment + 6 years (as part of employee contract records) except information which is not relevant to the ongoing employment relationship.	1980 c. 58 s 5	
	Records documenting the employee's termination of employment by voluntary resignation, redundancy, retirement (including on medical grounds) or dismissal.	Termination of employment + 6 years	1980 c. 58 s 5	
	Records documenting routine assessments/reviews of the employee's performance, and any consequent action taken.	Superseded + 3 years		In accordance with the University's Performance, Development and Appraisal process.
	Records documenting the employee's training and development needs, and the action taken to meet these needs.	Completion of actions + 5 years	NA	Current year + 6 years, superseded + 3 years, duration of employment and 6 years
Workforce Induction	Records documenting the administration of induction programmes.	Completion of programme + 1 year OR Termination of programme + 1 year	NA	
Workforce Planning	Records documenting management succession plans.	Superseded + 5 years	NA	
	Records documenting the assessment and analysis of workforce requirements, and the	Current year + 3 years	NA	Post Release

Activity	Record group	Retention period	Authority	Notes
	identification and evaluation of options for meeting these requirements.			
	Records documenting the development and evaluation of job specifications.	Superseded + 5 years	NA	New posts in consultation with HRD



## Health and Safety management

Note: Information also held by University's Safety Services (USS)

Activity	Record group	Retention period	Authority	Notes
Health & Safety Hazard Exposure Control – Display Screen Equipment	Records documenting the conduct, review and revision of assessments of risks to health and safety created by using workstations, to fulfil the institution's duties under Regulation 2 of the Health & Safety (Display Screen) Equipment Regulations 1992 (SI 1992/2792).	Superseded + 10 years	NA	SI 1992/2792 does not prescribe a retention period for these records.  As a minimum, risk assessments should be retained until they are superseded.  Retaining previous versions provides evidence of compliance and effective management of health and safety over time.
	Records documenting the provision of training and information for employees using workstations, to fulfil the institution's duties under Regulations 6 and 7 of the Health & Safety (Display Screen) Equipment Regulations 1992 (SI 1992/2792).	Superseded + 5 years	NA	SI 1992/2792 does not prescribe a retention period for these records.
Health & Safety Hazard Identification & Risk Assessment	Records documenting the appointment of first aiders.	Termination of appointment	NA	

## Records Management

Note: Information also held by the Information Services Directorate (ISD).

Activity	Record group	Retention period	Authority	Notes
Records Retention	Final versions of Records Retention Schedules	Permanent	NA	Retaining a history of retention periods provides evidence of effective control of records and the basis for disposal of records.
	Records documenting the determination of retention periods for records.	Completion of revised Records Retention Schedule + 1 year	NA	
	Records documenting the review of individual records to determine requirements for ongoing retention, where records are disposed of.	Life of records + 25 years	NA	