

## Partnerships Office (PPE) Records Retention Schedule (RRS)

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Version: 0.1

This document defines the records retention schedule for records held and owned by the Development department, 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	8 March 2013	First draft

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*Please note that 'destroyed' means shredded/deleted according to the nature of the documentation. 'Archived' means that the document will be moved from an 'active' electronic or paper file to an 'archive' electronic file or secure storage room. (IT systems are regularly backed up by ITCS and contingency planning is in place to enable critical systems to be recovered within given timeframes – <https://www.uea.ac.uk/is/itregs/ICT+Contingency+Plan+-+Top+Level> )*

### Partnerships Office Team

Activity	Record group	Retention period	Authority	Action at period end	Notes
Meeting Administration	Records documenting the arrangements for Partnerships Office team meetings	2 months after meeting or year-end (whichever is the later)	NA	Destroyed	

<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>

Activity	Record group	Retention period	Authority	Action at period end	Notes
	Records documenting the conduct of Partnerships Office team meetings: agenda, minutes and supporting papers	Current academic year + 3 years	NA	Destroyed	
Travel Administration	Records documenting travel arrangements	Completion of travel + 3 months	NA	Destroyed at end of academic year	Purchase orders/ invoices retained by FMH Finance
Work Monitoring	Records documenting the progress of work	Academic year	NA	Archived	Primarily Partnerships Action Plan
Work Planning	Records documenting work allocation	Academic year	NA	Archived	
Records storage	Records documenting storage records	Academic year – then updated	NA	Previous year's versions destroyed	
Database development	Records documenting the initial development and post-implementation modification and maintenance of ICT systems	Decommissioning of system + 5 years	NA	Archived	
ICT Systems Operations Management	Records documenting faults reported by users of ICT systems, and action taken to investigate and resolve the problem	Last action on fault + 1 year	NA	Archived	
ICT Systems Training	Records documenting the development of technical and application training for ICT system users	Superseded + 1 year	NA	Previous versions archived	
Financial Accounting	Records documenting the issue of sales invoices and incoming payments/receipt and payment of purchase invoices, authorisation for procurement, delivery notes etc	Partnerships Office will retain copies for current financial year +2years	NA	Destroyed	FMH Finance record retention policy states that they will retain records for current financial year + 6 years in compliance with legislation and HMRC requirements

Activity	Record group	Retention period	Authority	Action at period end	Notes
	Records documenting the payment and/or reimbursement of expenses	Current financial year + 2 years	NA	Destroyed	FMH Faculty Finance retain records for 5 years
Financial Planning and Budgeting	Records documenting the preparation, monitoring of income and expenditure against annual operating budgets, and action taken to deal with variances	Current financial year + 2 years	NA	Archived	FMH Faculty Finance retain records
	Records documenting purchasing authorisation limits	Superseded + 1 year	NA	Previous version destroyed when updated	
Human Resources Management	Records documenting the employees' applications for employment with the Partnerships team and supporting documentation supplied by third parties (eg references), shortlisting decisions etc	Information will be retained by Partnerships Office staff involved in the recruitment process only until completion of each recruitment activity	NA	Destroyed	HRD will retain central records according to university policy and current legislation
	Records documenting routine assessments/ reviews of the employees' performance, and any consequent action taken – including training and development needs		NA		Retained by Director of University Services, PPE
	Records relating to the administration of the employees' contractual holiday entitlement	Current year + 1 year	NA	Destroyed	Kept on PPE Outlook calendar/ individual holiday cards retained by individual Partnerships Office staff
	Records documenting the	Current year + 1 year	NA	Destroyed	Records retained centrally

Activity	Record group	Retention period	Authority	Action at period end	Notes
	authorisation and administration of other leave, eg time off work, leave for study and training, sick leave				by HRD/PPE. Sick leave forms retained by DUS PA.

## Partnerships Office Activities

The following activities relate to agreements with Partner institutions and courses delivered by Partner institutions carrying a UEA award

Activity	Record group	Retention period	Authority	Action at period end	Notes
Academic Partnership Approaches	Records documenting partnership approaches from other institutions	Indefinite	NA	NA	Electronic
Institutional Approvals	Records of organisation of approval event, and invitations to potential panel members	1 year after event	NA	Archived	Electronic – the final approved panel stored on validation database in the centrally backed up L Drive
	Panel appointments – approval of CVs	1 year after event	NA	Destroyed	Electronic in the L Drive
	Institutional Approval proposal documentation	Duration of agreement + 5 years after final termination	NA	Archived	Hard copies destroyed after the event; electronic copies stored on the L Drive and on Blackboard
	Records of outcome of approval event and approval of conditions, requirements and recommendations	Duration of agreement + 5 years after final termination	NA	Archived	Electronic copies stored on the L Drive
	Signed copies of Partnerships Office managed Partner agreements – current and expired	Indefinite	NA	NA	Hard copy and electronic on the L Drive

Activity	Record group	Retention period	Authority	Action at period end	Notes
Course Proposals	Records of CAT forms (UCS)	Indefinite	NA	Archived	Kept electronically on Blackboard and the L Drive
	Copies of Programme Specifications (UEA)	Retained for length of partnership	NA	Archived	Kept as part of validation/revalidation proposal document in L Drive and on Blackboard and retained as document presented to LTC
Validation events	Records of invitations to potential panel members	1 year after event	NA	Archived	Electronic Final approved panel stored on Partnerships database
	Panel appointments – approval of CVs	1 year after event	NA	Destroyed	Electronic in the L Drive
	Validation/revalidation proposal documentation	Duration of approval + 5 years after end of course	NA	Destroyed	Hard copies destroyed after the event; electronic copies stored on the L Drive and on Blackboard
	Validation outcomes report – and approval of conditions, requirements and recommendations	Duration of approval + 5 years after end of course	NA	Destroyed	Electronic copies stored on the L Drive
	Definitive course documents	Duration of approval + 5 years after end of course	NA	Archived	Electronic copies stored on the L Drive and Blackboard
	Evaluation feedback on validation events	5 years after event	NA	Archived	Electronic copies stored on the L Drive
Course records	Records of major/minor modifications to validated courses	Duration of validation + 5 years	NA	Archived	
	Copies of SARE/AMR reports	Duration of approval + 5 years after end of course	NA	Archived	Electronic copies are kept in course file
External Examiner	Records documenting the selection and appointment of	Termination of appointment + 1 year	QAA	Destroyed	Electronically in L Drive and Blackboard. List of current

Activity	Record group	Retention period	Authority	Action at period end	Notes
administration	external examiners.				external examiners stored on Partnerships database.
	External examiner reports	Duration of approval + 5 years after end of course	QAA	Archived	Electronic copies are kept in course files
Academic Link administration	Records documenting the appointment and payment of Academic Links	Current financial year + 2 years	NA	Destroyed	Copies retained by FMH Finance
	Academic Link reports	Duration of tenure + 5 years	NA	Archived	
ATS administration	ATS applications and CVs	Duration of appointment + 1 year	NA	Destroyed	Electronically in L Drive and Blackboard
Examination Boards	Records documenting the minutes, outcomes of Examination Boards and marks awarded to students	From date of Exam Board + 3 years	NA	Archived	Electronically in L Drive
Student records	Records documenting APL applications and outcomes	From date of completion of studies + 6 years	NA	Archived	Electronically in L Drive and Blackboard
	Records documenting mitigating circumstances/applications for concessions and their outcomes	From date of completion of studies + 6 years	NA	Archived	Electronically in L Drive
	Records documenting the handling of individual students' requests for statements of results/transcripts.	Last action on request	NA	Log of name and request kept on Partnerships database indefinitely	
Student Admission	Records containing data on overall student numbers.	Life of committee + 5 years	NA	Archived	Retained as annual report in Joint Board of Study/ Joint Committee papers
Student Academic Appeal	Records documenting the handling and results of academic	Duration of student studies + 6 years	NA	Archived	

Activity	Record group	Retention period	Authority	Action at period end	Notes
Handling	appeals by individual students.				
Student Complaint Handling	Records documenting the handling of complaints by individual students.	Last action on complaint + 6 years	NA	Archived	
Staff Records	Remission of course fees for UEA courses (applications and approvals)	Duration of course + 6 years	NA	Archived	Electronic on L Drive – full details held by Planning
	Current staffing structure	When superseded	NA	Archived	
	Records documenting workshops and staff development	5 years		Archived	Electronic on L Drive and Blackboard
Assessment Administration	Pass Lists/Awards lists	3 years	NA	Archived	Paper copies held by Congregation Office/ scanned by Partnerships Office and retained electronically
Academic Award Conferment	Records documenting offers of honorary awards and responses received.	Conferment of award + 1 year	NA	E mail notifying Partners is deleted	VCO lead department. Partnerships Office notifies Partners of nomination deadlines.
	Records documenting the organisation of award ceremonies.	Completion of ceremony + 2 years	NA	Destroyed	Partner responsibility – Partnerships Office reviews scripts for ceremonies.
	Records documenting the production of award certificates.	Indefinitely	NA	Archived	Spread sheet of parchments required sent to Congregation Office kept electronically.
Committee Administration (JBOS/JC/JAC)	Records documenting the appointment/election/designation of members of a committee	Termination of membership + 6 years	NA	Archived	Held electronically
	Records documenting the	Current year + 1 year	NA	Destroyed	

Activity	Record group	Retention period	Authority	Action at period end	Notes
	arrangements for meetings of a committee				
	Records documenting the terms of reference, conduct of the business of a committee, agenda, minutes and supporting papers, and actions to be taken as a result of committee decisions	Life of committee + 5 years	NA	Archived	Held electronically
Partner-led committee meetings	Agendas and minutes of Partner-led meetings eg UCS Academic Board; UCS Network Centre HE Meetings; CCN HELTC/VARC; Easton College TLC	Current academic year + 5 years	NA	Archived	Held electronically
Management Information Analysis & Reporting	Management information reports	Current year + 5 years	NA	Some management information presented to JBOS will be retained for life of committee + 5 years (as above)	
Quality Audits	Records documenting the conduct and results of QAA / Ofsted audits at Partner institutions and action taken to address issues raised	Completion of audit + 6 years	QAA	Archived	Copies will also be retained by Partner institutions
Quality Management Scheme Accreditation Management	Records documenting the attainment and maintenance of the institution's accreditation under established independent quality management schemes	Termination of accreditation + 1 year	NA	Archived	Records retained by Partner
Marketing	Prospectuses for partner institutions	For currency of prospectus + 6 years	NA	Destroyed	



<b>Activity</b>	<b>Record group</b>	<b>Retention period</b>	<b>Authority</b>	<b>Action at period end</b>	<b>Notes</b>
PGR Activity	Records relating to PGR students supervised by UEA				See record retention schedule for PGR team in PPE
Contracts and agreements management	Records documenting the negotiation, establishment and review of contracts and agreements between the institution and third parties	Termination of contract + 12 years	NA	Archived	
Legal advice	The activities associated with providing legal opinions and advice to the UEA	5 years	NA	Archived	
Consultancy	Records documenting the appointment and work of independent consultants	Termination of contract + 5 years	NA	Destroyed	
International agreements	Records of agreements (hard copies of original signed documents and photocopies)	For the length of the agreement + 12 years	NA	Archived	