

AHP Records Retention Schedule (RRS)

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This document defines the records retention schedule for records held and owned by the School of Allied Health Professions, and is based on the JISC Higher Education Business Classification Scheme and Records Retention Schedules¹. Further information about RRSs and their structure including the descriptions of the column headings are available on the UEA website.²

We note that records held in other offices on behalf of AHP would be considered under the RRS of that office. Please note that emails are records and will need to be managed as per this schedule.

Academic taught programme administration

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 years	NA	

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
External Examiner Administration	Records documenting liaison with external examiners on	Current academic year + 1 year	NA	

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

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

Activity	Record group	Retention period	Authority	Notes
	administrative matters.			
	Records documenting the selection and appointment of external examiners.	Termination of appointment + 1 year	NA	

Student registration, progress, 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 Records Administration	Records containing standard analyses of data from individual students' records.	Current academic year + 5 years	NA	

School Management

Activity	Record group	Retention period	Authority	Notes
Student Plan	Records containing information related to the formulation of the School Plan	Superseded + 5 years	NA	

Teaching

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

Activity	Record group	Retention period	Authority	Notes
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	Current academic year + 1	NA	

Activity	Record group	Retention period	Authority	Notes
	materials.	year		
	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	
	Records containing data on, and analyses of, student numbers and other taught programme statistics.	Current academic year + 5 years	NA	
	Records containing reports of routine internal reviews of taught programmes.	Current academic year + 5 years	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	

Governance (minute book for University committees: Council, Senate, Finance, Audit, LTC, etc.)

Note: information also held by Planning (PLN) – Committee Office.

Activity	Record group	Retention period	Authority	Notes
Non-Statutory Committee Administration	Records documenting the appointment/election/designation of members of a committee.	Termination of membership + 6 years	1980 c. 58 s 5	Current academic year + 3 years
	Records documenting the conduct of the business of a committee: agenda, minutes and supporting papers.	Life of committee + 5 years	NA	Current academic year + 3 years
	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	

Activity	Record group	Retention period	Authority	Notes
	Records documenting the development of induction and training programmes for members of a committee.	Superseded + 3 years	NA	Retaining previous versions provides evidence of effective induction and training over time.

Legal affairs management

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

Activity	Record group	Retention period	Authority	Notes
FOI queries	Documents relevant to the enquiry.	Duration of enquiry + 2 years	NA	

Management information collection, analysis and reporting

Information held by the Information Services Directorate (ISD) and other departments.

Activity	Record group	Retention period	Authority	Notes
Management Information Analysis & Reporting	Management information reports	Current year + 3 years	NA	
Management Information Collection	Dataset specifications and protocols for submission and collation of data.	Superseded	NA	If datasets are archived, dataset specifications and protocols should be archived with them.

Records management

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

Activity	Record group	Retention period	Authority	Notes
Records Disposal	Records documenting authorisation for the disposal of redundant records.	Disposal of records + 25 years	NA	Disposal + 5 years
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.

Personnel

Equality and diversity management

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

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

Information held in Human Resources (HRD) and in other departments.

Activity	Record group	Retention period	Authority	Notes
Workforce Planning	Records documenting management succession plans.	Superseded + 5 years	NA	

Activity	Record group	Retention period	Authority	Notes
	Records documenting the assessment and analysis of workforce requirements, and the identification and evaluation of options for meeting these requirements.	Current year + 3 years	NA	
	School Personnel files	Employment plus 2 years	NA	

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	

Activity	Record group	Retention period	Authority	Notes
Research Project Management	Records documenting the management of externally-funded research projects.	Completion of project + 6 years	1980 c. 58 s 5	A longer retention period for these records may be required by a research sponsor.
	Records documenting the management of internally-funded research projects.	Completion of project + 3 years	Common internal audit requirement	

Safety

Information held by University Safety Services (USS) and other departments.

Equipment and consumables management

Activity	Record group	Retention period	Authority	Notes
Equipment & Consumables Disposal	Records documenting authorisation for the disposal of equipment/consumables, and the evaluation of alternative methods of disposal.	Disposal of item + 1 year	NA	Consult USS before disposal?
	Records documenting the cleaning/sanitisation of equipment/consumables prior to disposal: items used in connection with operations involving	Disposal of item + 15 years	1980 c.58 s 14	Consult USS before disposal?

Activity	Record group	Retention period	Authority	Notes
	substances hazardous to health.			
	Records documenting the cleaning/sanitisation of equipment/consumables prior to disposal: other items.	Disposal if item + 6 year	1980 c. 58 s 5	Consult USS before disposal?
	Records documenting the transfer of ownership of equipment/consumables.	Disposal of item + 1 year	NA	Consult USS before disposal?
Equipment & Consumables Selection	Records documenting the development of specifications for, and the selection of, equipment/consumables: items which are safety critical or associated with hazardous operations	Life of item + 40 years	NA	Retaining these records for a long period is in line with requirements/recommendations for retention of Health & Safety records.
	Records documenting the development of specifications for, and the selection of, equipment/consumables: major items	Life of item + 6 years	1980 c.58 s 5	
	Records documenting the development of specifications for, and the selection of, equipment/consumables: other items	Life of item	NA	

Activity	Record group	Retention period	Authority	Notes
Equipment & Consumables Storage	Records documenting routine stocktaking and stock checking.	Current year + 1 year	NA	
Equipment Inspection, Testing & Maintenance	Maintenance logs for equipment	Life of equipment + 6 years	SI 1998/2306 Regulation 5(2) 1980 c. 58 s 5	
	Records documenting inspections of equipment, made under Regulation 6 of the Provision and Use of Work Equipment Regulations 1998 (SI 1998/2306).	Completion of subsequent inspection	SI 1998/2306 Regulation 6(3)	
	Records documenting the inspection, testing and maintenance of equipment, except as specified elsewhere.	Disposal of item + 1 year	NA	
	Records documenting the inspection, testing and maintenance of equipment: major items other than those specified elsewhere.	Decommissioning/removal + 6 years	1980 c.58 s 5	
	Records documenting the installation of equipment: other items.	Decommissioning/removal	NA	

Health and safety management

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.
	Records documenting the conduct, review and revision of assessments of the risks to health created by work with substances hazardous to health, to fulfil the institution's duties under Regulation 6 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).	Superseded + 10 years	NA	SI 2002/2677 does not prescribe a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of health and safety over time. A longer retention period may be appropriate if there have been

Activity	Record group	Retention period	Authority	Notes
				potentially dangerous exposures.
	Records documenting the development of plans and information to deal with accidents, incidents and emergencies related to the presence of substances hazardous to health, to fulfil the institution's duties under Regulation 13 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).	Superseded + 10 years	NA	SI 2002/2677 does not prescribe a retention period for these records. Retaining previous versions provides evidence of compliance and effective management of health and safety over time.
Health & Safety Hazard Identification & Risk Assessment	Records documenting the conduct, review and revision of risk assessments made to fulfil the institution's duties under Regulation 3 of the Management of Health and Safety at Work Regulations 1999 (SI 1999/3242) and except where specified elsewhere in this RRS	Superseded + 5 years	NA	SI 1999/3242 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 appointment of first aiders.	Termination of appointment	NA	
	Records documenting the conduct and review of safety drills to fulfil the institution's duties under Article 15 of the Regulatory Reform (Fire safety) Order 2005 (SI 2005/1541).	Current year + 5 years or Superseded + 5 years	NA	SI 2005/1541 does not prescribe a retention period for these records. Retaining information about previous drills etc. provides evidence of compliance and effective management of health and safety over time.

Activity	Record group	Retention period	Authority	Notes
Health & Safety Information, Instruction & Training Provision	Records documenting the provision of health and safety information, instruction and training for employees, students and others, except where specified elsewhere in this Records Retention Schedule.	Current year + 5 years or Superseded + 5 years	NA	The following regulations require information, instruction and training to be provided but do not prescribe retention periods for records relating to this activity: SI 1989/635; SI 1989/682; SI 1992/2792; SI 1992/2793; SI 1996/341; SI 1998/2306; SI 1999/3242.

Student support

Note: Information also held by the Dean of Students Office (DOS) and other departments.

Activity	Record group	Retention period	Authority	Notes
Prizes	List of prize winners	While prize is awarded	NA	

Student relations management

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

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	