

ARM MAC Alumni Conferences and Events Records Retention Schedule (RRS)

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This document defines the records retention schedule for records held and owned by the ARM MAC department, 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

Version history

Version	Date	Note
0.1	23/04/2013	First draft (Approved by David Giles – Acting Director Admissions, Recruitment & Marketing)

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

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

General

The following activities may apply to any business area of the organisation, and records relating to them may be held in any department.

Activity	Record group	Retention period	Authority	Action at period end	Notes
Business Area Procedure Development	Master copies of procedures relating to this business area.	Superseded + 5 years	NA	Destroyed	
	Records documenting the development of the institution's procedures relating to this business area.	Issue of procedures + 1 year	NA	Destroyed	

Alumni and Supporters

Information held by Admissions, Recruitment and Marketing (ARM), Alumni, Conferences and Events (ACE) and other departments.

Alumni relations

Information held by Admissions, Recruitment and Marketing (ARM) and in Faculties.

Activity	Record group	Retention period	Authority	Notes
Alumni & Supporters Communications Management	Communications	Issue + 1 year	NA	Duration of relationship considered to be the time the constituent is alive. Record to be kept on CRM for this period + 1 year.
	Records documenting enquiries from alumni and the responses provided.	Last action on enquiry + 1 year	NA	Duration of relationship considered to be the time the constituent is alive. Record to be kept on CRM for this period + 1 year.
	Records documenting the design and conduct of alumni surveys.	Completion of survey + 3 years	NA	
	Records documenting the design, planning and production of official alumni communications.	Issue of communication + 1 year	NA	
	Records documenting the handling of complaints from	Last action on complaint + 3	NA	

Activity	Record group	Retention period	Authority	Notes
	alumni.	years		Retention for a longer period may be appropriate if the complaint, or the handling of the complaint, could be a basis for legal action against the institution.
	Records documenting unsolicited feedback from alumni, the internal handling of this feedback and the responses provided.	Last action on feedback + 1 year	NA	Duration of relationship considered to be the time the constituent is alive. Record to be kept on CRM for this period + 1 year.
	Results of alumni surveys: individual responses	Completion of analysis of survey responses	NA	
	Results of alumni surveys: summaries and analyses of responses	Completion of survey + 3 years	NA	
Alumni Events Management	Records documenting the administration of financial and other support given to individual alumni organisations.	Current financial year + 1 year	NA	
	Records documenting the organisation and	Completion of event + 1 year	NA	

Activity	Record group	Retention period	Authority	Notes
	administration of institutional events for alumni.			
	Records documenting the planning and impact/results of institutional events for alumni.	Completion of event + 3 years	NA	
Alumni Records Administration	Records containing personal data on individual alumni.	While current (or likely to be current)	NA	Duration of relationship considered to be the time the constituent is alive. Record to be kept on CRM for this period + 1 year.
	Summary (anonymised) statistical records of alumni	Current year + 10 years	NA	
Alumni Support	Records documenting requests for contact details for alumni, action taken and the responses provided.	Last action on request + 1 year	NA	
	Records documenting requests from alumni associations for financial or	Last action on request + 1 year	NA	

Activity	Record group	Retention period	Authority	Notes
	other support, the internal handling of these requests and the responses provided.			
	Records documenting the administration of financial and other support to alumni organisations.	Current financial year +1 year	NA	

Finance

Information held by the Finance Division (FIN) and finance offices in other departments.

Finance management (inc. invoices and debt management)

Information held by the Finance Division (FIN) and finance offices in other departments.

Activity	Record group	Retention period	Authority	Notes
Cash Management	Records documenting routine bank account deposits/withdrawals/transfers (paying-in slips, transfer instructions, bank statements etc.)	Current financial year + 6 years	1970 c. 9 s 34 1980 c. 58 s 5	
	Records documenting standing orders, direct debits etc.	Life of instruction + 6 years	1980 c. 58 s 5	
Financial Accounting	Annual Accounts	Current financial year + 6 years	1980 c. 58 s 5	
	Records documenting the handling of petty cash.	Current financial year + 6 years	1980 c. 58 s 5 1994 c. 23 HMRC 700/21 para. 5.2	
	Records documenting the issue of sales invoices and the processing of incoming payments.	Current financial year + 6 years	1970 c. 9 s 34 1980 c. 58 s 5 1994 c. 23 HMRC 700/21 para. 5.2	
	Records documenting the payment and/or	Current financial year + 6 years	1970 c. 9 s 34 1980 c. 58 s 5	

Activity	Record group	Retention period	Authority	Notes
	reimbursement of employees' expenses.			
	Records documenting the payment of expenses to third parties (e.g. honorary appointees).	Current financial year + 6 years	1970 c. 9 s 34 1980 c. 58 s 5	
	Records documenting the payment of honoraria to third parties.* *Unless honoraria are administered through the payroll.	Current financial year + 6 years	1970 c. 9 s 34 1980 c. 58 s 5	
	Records documenting the preparation of annual accounts	Current financial year + 6 years	1980 c. 58 s 5	
	Records documenting the receipt and payment of purchase invoices.	Current financial year + 6 years	1970 c. 9 s 34 1980 c. 58 s 5 1994 c. 23 HMRC 700/21 para. 5.2	
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	Current financial year + 1 year	NA	

Activity	Record group	Retention period	Authority	Notes
	operating budgets.			
Internal Accounting	Records documenting the negotiation and administration of formal contracts between operating units (e.g. for the provision of services.)	Termination of contract + 1 year	NA	
	Records documenting the processing of internal accounting transactions between operating units (i.e. cross-charges).	Current financial year + 1 year	NA	

Procurement

Information held by the Finance Division (FIN) and finance offices in other departments.

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	
	Records documenting purchasing authorisation limits.	Superseded + 1 year	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

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

Activity	Record group	Retention period	Authority	Notes
Records Access Control	Records documenting the provision of access to records.	Date of access + 1 year	NA	
Records Creation & Capture	Records documenting recordkeeping requirements for specific business activities and processes.	Superseded	NA	
Records Disposal	Records documenting authorisation for the disposal of redundant records.	Disposal of records + 25 years	NA	
Records Maintenance	Records documenting conservation work undertaken on records.	Disposal of records	NA	
Records Organisation & Description	Records documenting classification and indexing schemes for records.	Superseded + 5 years	NA	
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.

Activity	Record group	Retention period	Authority	Notes
	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	
Records Storage & Handling	Records documenting storage locations of records.	Superseded	NA	
	Records documenting the movement of records to/from storage.	Return of records + 1 year	NA	
Records Survey/Audit	Records documenting the conduct and results of records surveys/audits.	Completion of subsequent survey/audit	NA	This retention period assumes that the purpose and scope of the subsequent audit is comparable. If it is not, a longer retention period may be appropriate.

Marketing and communications

Information held by the Admissions, Recruitment and Marketing (ARM) as well as other departments.

Community relations management

Information held by the Admissions, Recruitment and Marketing (ARM).

Activity	Record group	Retention period	Authority	Notes
Community Communications Management	Records documenting complaints from members of the local community, the internal handling of these complaints and the responses provided.	Last action on complaint + 1 year	NA	
	Records documenting enquiries from members of the local community and the responses provided.	Last action of enquiry + 1 year	NA	Duration of relationship considered to be the time the constituent is alive. Record to be kept on CRM for this period + 1 year.
	Records documenting the design and conduct of community surveys.	Completion of survey + 3 years	NA	
	Records documenting unsolicited feedback from members of the local community, the internal handling of this feedback	Last action on feedback + 1 year	NA	

Activity	Record group	Retention period	Authority	Notes
	and the responses provided.			
	Results of community surveys: individual responses	Completion of analysis of survey responses	NA	
	Results of community surveys: summaries and analyses of responses	Completion of survey + 3 years	NA	
Community Events Management	Records documenting the organisation and administration of local community events.	Completion of event + 1 year	NA	
	Records documenting the planning and impact/results of local community events.	Completion of event + 3 years	NA	
Community Representation	Records documenting the institution's membership of local community organisations.	Termination of membership + 1 year	NA	
	Records documenting the institution's participation in the activities of local community organisations (including committees).	Termination of involvement + 1 year	NA	
Community Records	Records containing	While current	NA	Duration of relationship

Activity	Record group	Retention period	Authority	Notes
Administration	personal data on individual members of the community.	(or likely to be current)		considered to be the time the constituent is alive. Record to be kept on CRM for this period + 1 year.

Marketing

Information held by the Admissions, Recruitment and Marketing (ARM) and Planning (PLN) – Business Information Unit.

Activity	Record group	Retention period	Authority	Notes
Advertising Management	Records documenting the development, placement and impact of advertisements.	Current + 5 years	NA	
Marketing Campaign Management	Records documenting the design, implementation and review of marketing campaigns.	Completion of campaign + 3 years	NA	

Public relations management

Information held by the Admissions, Recruitment and Marketing (ARM).

Activity	Record group	Retention period	Authority	Notes
Donations Management	Records documenting the management of the institution's relationship with donors to the institution (other than in response to fundraising campaigns).	Duration of relationship + 6 years	1980 c. 58 s 5	Duration of relationship considered to be the time the constituent is alive. Record to be kept on CRM for this period + 6 years.
Public Communications Management	Records documenting complaints from members of the public, the internal handling of these complaints and the responses provided.	Last action on complaint + 1 year	NA	
	Records documenting enquiries from members of the public and the responses provided.	Last action on enquiry + 1 year	NA	
	Records documenting the design and conduct of public surveys.	Completion of survey + 3 years	NA	
	Records documenting unsolicited feedback from members of the public, the	Last action on feedback + 1 year	NA	

Activity	Record group	Retention period	Authority	Notes
	internal handling of this feedback and the responses provided.			
	Results of public surveys: individual responses	Completion of analysis of survey responses	NA	
	Results of public surveys: summaries and analyses of responses	Completion of survey + 3 years	NA	
Public Events Management	Records documenting the organisation and administration of public events.	Completion of event + 1 year	NA	
	Records documenting the planning and impact/results of public events.	Completion of event + 3 years	NA	
Sponsorship Management	Records documenting the arrangements for corporate sponsorship of public events by the institution.	Termination of sponsorship + 6 years	1980 c. 58 s 5	

Publications management

Information held by the Admissions, Recruitment and Marketing (ARM) and in faculties.

Activity	Record group	Retention period	Authority	Notes
Publications Acquisition	Records documenting decisions to (dis)continue purchase of publications.	Last action on issue + 1 year	NA	
	Records documenting the process of selecting publications to purchase.	Completion of purchase	NA	
Publications Disposal	Records documenting the authorisation for the disposal of redundant publications.	Disposal of publications + 1 year	NA	
Publications Organisation	Catalogues/indexes	Superseded	NA	
	Records documenting the institution's scheme(s) for classifying and cataloguing publications.	Until all catalogues based on the scheme are superseded	NA	

Publishing

Information held by the Admissions, Recruitment and Marketing (ARM) and in faculties.

Activity	Record group	Retention period	Authority	Notes
Publication Distribution	Records documenting the distribution of publications.	Current year + 1 year	NA	
Publication Marketing	Records documenting the development of marketing plans for publications.	Life of publication	NA	
Publication Production	Records documenting the design, commissioning, editing and production of publications.	Issue of publication + 1 year	NA	

Human resources management

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

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	
	Records documenting changes to the employee's terms and conditions of employment.	Termination of employment + 6 years	1980 c. 58 s 5	
	Records documenting disciplinary proceedings against the employee, where employment continues.	Closure of case + 6 years	Common HR practice	Chartered Institute of Personnel and Development recommends '6 years after employment ceases'. See Retention of personnel and other related records (Chartered Institution of Personnel and Development, 2006).
	Records documenting entitlements to, and calculations of, Statutory	Current tax year + 3 years	SI 1986/1960 Regulation 26	

Activity	Record group	Retention period	Authority	Notes
	Maternity Pay.			
	Records documenting grievances raised by the employee which relate directly to his/her own contract of employment, the institution's response, action taken and the outcome.	Closure of case + 6 years	Common HR practice	Chartered Institute of Personnel and Development recommends '6 years after employment ceases'. See Retention of personnel and other related records (Chartered Institute of Personnel and Development, 2006).
	Records documenting induction programmes attended by the employee.	Completion of induction + 1 year	NA	
	Records documenting job-specific statutory/regulatory training requirements for the employee, and the training provided to meet these requirements.	Expiry of certification + 6 years OR Superseded + 6 years	1980 c. 58 s 5	
	Records documenting major injuries to an employee arising from accidents in the workplace.	Termination of employment + 40 years	1980 c. 58 s 11	
	Records documenting	Provision of reference +	NA	

Activity	Record group	Retention period	Authority	Notes
	references provided in confidence in support of the employee's application(s) for employment by another organisation.	1 year		
	Records documenting routine assessments/reviews of the employee's performance, and any consequent action taken.	Superseded + 3 years	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 absence due to sickness.	Termination of employment + 40 years	IR CA30	
	Records documenting the employee's contract(s) of employment with the	Termination of employment + 6 years	1980 c. 58 s 5	

Activity	Record group	Retention period	Authority	Notes
	institution.			
	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	See Section 1.7 of the Employment Practices Code (Information Commissioner's Office, 2005). For employee contract records, see HUMAN RESOURCES MANAGEMENT - EMPLOYEE CONTRACT MANAGEMENT).
	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 the employee's training and development needs, and the action taken to meet these needs.	Completion of actions + 5 years	NA	

Activity	Record group	Retention period	Authority	Notes
	Records relating to the administration of the employee's contractual holiday entitlement.	Current year + 1 year	NA	
Workforce Induction	Records documenting the administration of induction programmes.	Completion of programme + 1 year OR Termination of programme + 1 year	NA	
	Records documenting the development, overall delivery and assessment of induction programmes for new employees. For records documenting individual employees' induction programmes, see Employee Contract Management.	Current year + 5 years	NA	
	Records documenting internal authorisation for recruitment.	Current year + 1 year	NA	
	Records documenting the advertising of vacancies.	Completion of recruitment process + 3 months	1975 c. 65 1976 c. 74 1995 c. 50 SI 2006/1031 Regulations 7,	

Activity	Record group	Retention period	Authority	Notes
			36 and 42 SI 2003/1660 Regulations 6, 28 and 34 SI 2003/1661 Regulations 6, 28 and 34 Employment Practices Code, Section 1.7.1 (Information Commissioner's Office, 2005)	
	Records documenting the handling of applications for vacancies: successful applications.	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	See Section 1.7 of the Employment Practices Code (Information Commissioner's Office, 2005). For employment records, see HUMAN RESOURCES MANAGEMENT - EMPLOYEE CONTRACT MANAGEMENT).
	Records documenting the	Completion of	1975 c. 65	See Section 1.7 of

Activity	Record group	Retention period	Authority	Notes
	handling of applications for vacancies: unsuccessful applications.	recruitment process + 3 months	1976 c. 74 1995 c. 50 SI 2006/1031 Regulations 7, 36 and 42 SI 2003/1660 Regulations 6, 28 and 34 SI 2003/1661 Regulations 6, 28 and 34	<p>the Employment Practices Code (Information Commissioner's Office, 2005).</p> <p>Actions under discrimination legislation must generally be brought within 3 months.</p> <p>The Chartered Institute of Personnel and Development recommends '1 year'. See the factsheet Retention of personnel and other related records (2006).</p> <p>Anonymised data may be held for a longer period (e.g. for equality monitoring</p>

Activity	Record group	Retention period	Authority	Notes
				purposes).
	Records documenting the handling of unsolicited applications for employment.	Receipt of application + 1 year	NA	See Section 1.7 of the Employment Practices Code (Information Commissioner's Office, 2005).
Workforce Remuneration & Reward Management	Records documenting pay reviews.	Current year + 5 years	NA	
	Records documenting special reward schemes (e.g. Merit Reviews).	Termination of scheme + 5 years	NA	
	Records documenting the development of the institution's remuneration structure.	Current year + 10 years	NA	
Workforce Training & Development	Records containing individual feedback on training and development programmes.	Completion of analysis of feedback	NA	
	Records containing summary information on workforce training and development needs.	Current year + 5 years	NA	

Activity	Record group	Retention period	Authority	Notes
	For records documenting individual employees' training and development needs, see Employee Contract Management.			