

Ulster University Schedule Cover Sheet

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Changes to previous version

Primary change throughout is listing of documents by University description rather than JISC functional description. Reduction in the size of the document from 91 pages to 31 pages for ease of use.

INTRODUCTION AND BACKGROUND

A Records Retention and Disposal Schedule is essentially a table that describes the length of time each business document or record will be retained and its final disposition (disposal or storage). The basic components consist of:

- a description of each type of record which the organisation generates
- a retention period for each type of record

A more detailed Schedule may also contain information about:

- reasons for retention (e.g. legislative requirements)
- actions required at the end of retention periods (e.g. destruction)
- responsibilities for retaining records and for taking required actions at the end of retention periods

A Records Retention Schedule is an essential component of an effective records management programme. It sets out an organisation's policy on retention of its business records. This provides a basis for consistent action across the entire organisation and eliminates the need for individual employees to make decisions about the retention of the records which they produce or receive in the course of their work.

RELEVANT LEGISLATION

The University will comply with all legislation and statutory requirements relevant to information and information systems, including:

- Computer Misuse Act 1990;
- Data Protection Act 1998;
- Communications Act 2003;
- Copyright, Designs and Patents Act 1988;
- Freedom of Information Act 2000;
- Human Rights Act 2000;
- Regulation of Investigatory Powers Act 2000;
- Police and Justice Act 2006;
- The Telecommunications (Lawful Business Practice) (Interception of Communications) Regulations 2000 ('the Lawful Business Regulations');
- Employment Equality (Age) Regulations 2006;
- Employment Equality (Religion or Belief) Regulations 2003;
- Employment Equality (Sexual Orientation) Regulations 2003;
- Control of Substances Hazardous to Health (COSHH) Regulations 2002;
- Control of Lead at Work Practices 2002;
- Control of Asbestos Regulations 2006;
- Ionising Radiations Regulations 1999;
- Diseases and Dangerous Occurrences Regulations 1995;
- Social Security (Claims and Payments) Amendment (No. 3) Regulations 1993;
- Special Waste Regulations 1996;

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- Construction (Design and Management) Regulations 1994;
- COUNCIL REGULATION (EC) No 1260/1999 laying down general provisions on the Structural Funds;
- National Minimum Wage Regulations 1999;
- Income Tax (Pay As You Earn) Regulations 2003;
- Lifting Operations and Lifting Equipment Regulations 1998;
- Provision and Use of Work Equipment Regulations 1998;
- Fire Precautions (Workplace) Regulations 1997;
- Employers' Liability (Compulsory Insurance) Regulations 1998

Additional guidance:

- Medical Research Council, *Good Research Practice*;
- Medical Research Council, *Personal Information in Medical Research*;
- Stated or implied requirements of UK Research Councils and other significant research sponsors. See *Guidance on Managing Research Records* which includes:
 - Biotechnology and Biological Sciences Research Council (BBSRC)
 - Economic and Social Research Council (ESRC)
 - Engineering and Physical Sciences Research Council (EPSRC)
 - Medical Research Council (MRC)
 - Natural Environment Research Council (NERC)
 - Particle Physics and Astronomy Research Council (PPARC)
 - European Science Foundation
 - The Wellcome Trust;
- HMRC Notice 700/21 *Keeping VAT records*;
- Information Commissioner's Office, *Employment Practices Code (2005)*;
- Chartered Institution of Personnel and Development, *Retention of personnel and other related records (2006)*;
- The National Archives, *Records created by a public body fulfilling its obligations under the Freedom of Information Act 2000*

SCHEDULE STATEMENT

This Schedule has been developed following the model retention schedule for Higher Education Institutions developed by JISC, which may be found along with supporting documents on-line at:

<http://www.jiscinfonet.ac.uk/partnerships/records-retention-he>

In addition to the schedule presented in this document, the JISC document referenced above contains the following additional information:

- Detailed scope of activity for each identified record type
- The “authority” or legislative document(s) for the retention duration
- Any additional record retention notes for clarification

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Where documents are created and stored within the University can change from time to time due to institutional restructuring and reorganisation. Because of this, it can be helpful to think of documents and records in terms of function rather than taking an exclusively departmental view. Taking a fundamental functional view of University records, the University has looked to the JISC Business Classification Scheme (BCS) for records as follows:

1. Teaching & Learning
 - a. Teaching
 - b. Learning Support
2. Research
 - a. Research
 - b. Research Programme Provision
3. Knowledge Transfer and Enterprise
 - a. Intellectual Property Rights (IPR) Exploitation
 - b. Consultancy
 - c. Education & Training
 - d. Related Companies Management
 - e. Commercial Services Management
4. Academic Administration
 - a. Student Administration
 - b. Academic Programme Administration
 - c. Academic Award Administration
 - d. Student Assessment Administration
 - e. Tuition Fees Administration
 - f. Student Financial Support Administration
5. Corporate Management
 - a. Corporate Planning & Performance Management
 - b. Governance
 - c. Risk Management
 - d. Quality Management
 - e. Audit
 - f. Legal Affairs Management
 - g. Organisational Development
 - h. Equality & Diversity Management
 - i. Health & Safety Management
 - j. Environmental Management
6. Corporate Resources
 - a. Estate Management
 - b. Facilities Management
 - c. Finance Management
 - d. Human Resources Management
 - e. Information Compliance Management
 - f. Records Management
 - g. Archives Management
 - h. Collections Management
 - i. Publications Management
 - j. Intellectual Property Rights (IPR) Management

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- k. Information & Communications Technology (ICT) Systems Management
- l. Equipment and Consumables Management
- m. Insurance Management
- n. Procurement
- o. Publishing
- p. Management Information Collection, Analysis & Reporting
- 7. Corporate Relations
 - a. Public Relations Management
 - b. Media Relations Management
 - c. HE/FE Sector Relations Manager
 - d. Community Relations Management
 - e. Alumni Relations Management
 - f. Fundraising
 - g. Student Relations Management
 - h. Government Relations Management
 - i. Parliamentary Relations Management
 - j. Students' Union Relations Management
 - k. Marketing
- 8. Related Companies Management
- 9. Commercial Services Management
- 10. Corporate Services Management
- 11. Student Service Management
- 12. Business Unit Management

The previous version of this document followed this functional structure, but users found it difficult to understand and use. This version converts the retention and disposal information into document names and departments more recognisable to administrative staff.

It is hoped that over time, this functional structure may be adopted for Departments/Faculties file plans.

AIMS, PURPOSE AND SCOPE OF THE SCHEDULE

The aim of this schedule is to set out the retention durations and disposal requirements for different record types with all legitimate and legislative considerations having been taken into account. Specific aims include:

- Compliance with specific legal and regulatory requirements including the Freedom of Information Act 2000 and the Data Protection Act 1998
- Demonstrating that the disposal of information assets has been carried out according to an agreed policy
- Managing risk to avoid the costs and potential liabilities of retaining information the organisation does not really need and which is likely to result in legal discovery actions and possible involvement in third party disputes
- To provide specific advice on University staff on the length of time records should be kept in Departments, Schools and Faculties.
- To minimise administrative overheads to the University.

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Disposal is as important as retention. The retention durations given here are meant to also imply secure disposal of records at the end of the retention period.

The scope of the schedule is the entire University.

DEFINITIONS AND CLARIFICATION

A “record” is 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. These records may be in either electronic or traditional paper format.

A “Records Retention and Disposal Schedule” (RRDS) is a table that describes the length of time each document or record will be retained and its final disposition (disposal or storage).

A “Business Classification Scheme” (BCS) outlines business functions and activities for the purposes of structuring records management, structuring records management by BCS rather than by content or location.

“JISC” is an organisation whose name has evolved from an acronym for “Joint Information Systems Committee”. JISC is a United Kingdom non-departmental public body whose role is to support post-16 and higher education and research by providing leadership in the use of ICT (Information and Communications Technology) in learning, teaching, research and administration. It is funded by all the UK post-16 and higher education funding councils.

The “Public Records Office for Northern Ireland” (PRONI) is an archival institution that holds both public and private records. It performs the functions of Public Record Office, Manuscripts Department of a National Library, County Record Office for the six counties of Northern Ireland, and holder of a large range of private records.

“SPECTRUM” is a standard for collections management. It contains procedures for documenting objects and the processes they undergo, as well as identifying and describing the information which needs to be recorded to support the procedures.

PROCEDURE

Differentiation is made between paper and electronic records although the retention and disposal requirements by record type are still the same. The method of retention and disposal will be different.

The primary responsibility for

- Identifying record type
- Marking record (visibly or electronically) with type, retention and disposal dates
- Actual retention and disposal

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lies with the originating Department/Faculty. More information is available in the University's Document Management Policy.

IMPLEMENTATION

UNIVERSITY E-MAIL

University e-mail exists as an electronic messaging and transport system, and accounts are provided to support University business. The acceptable and unacceptable uses of University e-mail are outlined in the document "[Acceptable Use of Information Technology Code of Practice](#)".

E-mail records are subject to the same laws and policies that apply to other forms of paper and electronic records. All work-related emails are subject to Data Protection, Freedom of Information legislation and other judicial discovery, and may be legally admissible. Statements in e-mail records must not be made that could expose the University to legal liability or damage its reputation. It is the responsibility of all staff to ensure that e-mail records are retained for the appropriate period, and are also deleted when appropriate in accordance with the record type as defined in this document.

E-mails must not be used as a primary storage medium for University records. Appropriate storage for retention and disposal is the responsibility of the originator/recipient of the document.

Additional specific information on University policy concerning e-mail may be found in the following documents:

- **Acceptable and unacceptable use of e-mail**
[Acceptable Use of Information Technology Code of Practice](#)
- **E-mail monitoring policy and details**
[IT Monitoring Policy](#)
[IT Monitoring Code of Practice](#)
- **Classification of records, acceptable transmission and unacceptable transmission**
[Protective Marking Standard](#)
- **Security of e-mail access from portable devices**
[Portable Devices Security Standard](#)

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Faculty Records	
Student records	Retain until confirmation of marks/grades by Board of Examiners + 6 months Completion of student's module or programme + 6 years
Student Applications	Unsuccessful - Retain until completion of admissions process + 1 year.
Course and revalidation information	Retain for the life of the programme or module + 10 years
Programme Management System documents	Retain until superseded + 5 years
Course documents	Retain from current academic year + 3 years
Promotions files	Retain until termination of employment + 6 years
Student appeals	Retain from last action on case + 6 years Retain for current academic year + 6 years
Student marks	Completion of student's module or programme + 6 years
Invigilation Sheet	Retain for 3 years
External examiner claim forms	Retain for current financial year + 6 years
Directors of UU Foundation information	Retain until termination of appointment + 6 years
Committee papers	Retain for life of committee + 5 years
Companies House information	Retain life of company + 10 years
Policies and procedures	Retain from issue of policy or procedure + 1 year
Database access request forms	Retain from last action on request + 1 year
Memorabilia stock records	Retain from last action on campaign + 5 years
Alumni information	Retain duration of relationship + 6 years
Donor information	Retain duration of relationship + 6 years

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Sponsor information	Retain for the current academic year + 5 years Retain until termination of grant + 6 years
Election papers	Retain until termination of appointment + 6 years
Academic planning and admissions	Retain until superseded + 10 years
Boards of Examiners and External Examiner reports	Retain for current academic year Retain from current academic year + 1 year
REF records	Retain until superseded + 10 years
Human Resources Records	
Recruitment Files (Which will include a copy of the approval to recruit, the job description and personnel specification, the advertisement, all applications received, shortlisting report and all interview records)	Retain for recruitment period + 1 year
Employee Personal File (Which will include all application form, references, contract, any contractual changes, changes to personal information (name, address, next of kin etc) and changes to salary point)	Retain for duration of employment + 3 year
Human Resources Strategy Development (The Strategy and any key records that informed strategy development)	Retain until superseded + 10 years
Human Resources Policy Development (The Policy and any key records that informed policy development)	Retain until superseded + 10 years
Human Resources Procedure Development (The Procedure and any key records that informed procedural development)	Retain until superseded + 1 year

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HR Executive Group Papers	Retain for life of group + 3 years
Succession Plans	Retain until superseded + 5 years
DAR	Retain for duration of employment + 1 year
Staff Surveys	Retain until completion of survey + 10 years
Staff Grievances	Retain from last action + 6 years
Bullying and Harassment Investigations	Retain from last action + 6 years
Disciplinary Action	Retain for duration of warning
Sick Leave	Retain for duration of employment + 1 year
Trades Unions Recognition / De-recognition	Retain from derecognition + 6 years
Trades Unions Agreements	Retain from until termination of agreement + 10 years
Trades Unions Routine Meetings and Correspondence	Retain for current year + 5 years
Trades Unions Consultations and Negotiations on Specific Issues	Retain from last action on issue + 10 years
Committee Papers and Minutes Trade Union Negotiating Committees (JNC's / JUCNC)	Retain for current year + 10 years
Promotions Files (including Professorial Progression)	Retain for duration of employment + 1 year
Probation	Retain for duration of employment + 1 year
Industrial Tribunal Files	Retain for duration of tribunal + 3 years
Health and Safety risk assessments	Retain until superseded + 10 years

Equality and Diversity Services Records	
EO monitoring information	Retain current calendar year + 5 years
Section 75 screening and EQIAs	Retain until strategy or policy superseded + 5 years
Disability	Retain until superseded + 5 years
Promotions/Advancements	Retain until termination of employment + 6 years
Complaints	Retain from last action on case + 6 years
REF ISC forms	Retain while current
Exit questionnaires	Retain until termination of employment + 6 years
Assembly questions	Retain from last action on request + 5 years
Committee papers	Retain for life of committee + 5 years
Office of the University Secretary Records	
Committee papers	Retain for life of committee + 5 years
Honorary graduate information	Retain from conferment of award + 1 year
Procession lists	Retain from completion of ceremony + 1 year
Legislative records	Retain for life of University
Annual University Review	Retain for current academic year + 10 years
University Corporate Plan	Retain until superseded + 10 years
University Charter, Statutes and Ordinances	Retain for life of University
Visitor papers	Retain until closure of case + 6 years
MoUs and agreements	Retain until termination of contract + 12 years
Licenses and contracts	Retain until termination of contract + 6 years

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External representation	Retain until superseded + 5 years
Development papers for information compliance – key records	Retain until superseded + 5 years
Development papers for information compliance – working papers	Retain from issue of strategy, policy or procedure + 1 year
Information compliance procedures	Retain until superseded + 3 years
ICO notification of data controller	Retain from current calendar year + 1 year
DPA Subject Access Requests	Retain from last action on request + 1 year
DPA statistics, analysis and reports	Retain for current calendar year + 10 years
Documents for FOI publication scheme	Retain from completion of revision of Publication Scheme + 5 years
FOI requests	Retain from completion of request handling process + 3 years
FOI statistics, analysis and reports	Retain from the current calendar year + 10 years
Corporate Business Continuity Plan	Retain until superseded + 1 year
Copyright Policy	Retain until superseded + 3 years

Finance and Planning Information Directorate Records

Higher Education Return Early	Retain from submission of report + 3 years
Statistics (HESES)	Retain from submission of report + 3 years
HESA Student collection	Retain from submission of report + 3 years
HESA Aggregate Offshore Collection	Retain from submission of report + 3 years
HESA Institutional Profile Collection	Retain from submission of report + 3 years
Financial planning and forecasts	Retain for current financial year + 1 year
Management Accounts	Retain for current financial year + 1 year
Economic Appraisals	Retain from termination of supply contract awarded + 6 years
Financial Analysis/Subsidies	Retain for current financial year + 1 year
Sales Ledger records	Retain for current financial year + 6 years

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Purchase Ledger records	Retain for current financial year + 6 years
VAT return records	Retain for current financial year + 6 years
Employee expense records	Retain for current financial year + 6 years
Financial Statement records	Retain for current year + 6 years
Payroll records	Retain for current tax year + 3 years
Employer pension contribution records	Retain from termination of employment + 3 years
Research grants	Retain until termination of grant + 6 years
Successful tenders	Retain from termination of contract + 6 years
Unsuccessful tenders	Retain from award of supply contract + 1 year
Purchase orders	Retain for current financial year + 6 years
Costings	Retain from termination of supply contract awarded + 6 years
Physical Resources Records	
Estate Strategy Development: Key Records	Retain until superseded + 10 years
Estate Strategy Development: Key Records: Working Papers	Retain from issue of strategy + 1 year
Estate Management Procedure Development	Retain from issue of procedures + 1 year
Property Acquisition	Retain until disposal of property + 12 years
Deeds of Title	Retain until disposal of property
Unsuccessful Property Negotiations	Retain until closure of negotiations + 6 years
Property Leases and Agreements	Retain until expiry of lease + 15 years
Property Development	Retain until disposal of property
Property Development Health and Safety	Retain until demolition of property OR Disposal of interest in property

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Planning Applications	Retain until disposal of property or expiry of consent
Property Inspections	Retain from date of inspection + 5 years
Property Maintenance: Major Works	Retain until disposal of property
Property Maintenance: Minor Works	Retain until completion of works + 12 years
Asbestos Inspections	Retain from review of assessment + 10 years
Asbestos Removal	Retain from removal of asbestos + 10 years OR Subsequent inspection + 10 years
Property Disposal	Retain until disposal of property + 12 years
Security Inspections	Retain until completion of subsequent inspection
Key Registers and Access Registers	Retain from creation + 2 months
Visitor Security Passes	Retain until expiry of pass + 1 month
Staff and Student Security Passes	Retain until expiry of pass
Security Surveillance Records	Retain from creation + 1 month
Incident Reporting	Retain until last action on incident + 1 year
Property Leasing-out	Retain until expiry of lease + 12 years
Space Audits	Retain until completion of subsequent audit + 5 years
Facilities Management Procedure Development	Retain from issue of procedures + 1 year
Facilities Management Procedure Development: Master Copies	Retain until superseded + 6 years
Facilities Specifications	Retain until completion of works + 12 years
Facilities Inspections	Retain until completion of two subsequent inspections

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Estates Maintenance Works: Major	Retain until completion of works + 12 years
Estates Maintenance Works: Minor	Retain until current year + 6 years
Facilities Licences and Certificates	Retain until superseded
Environmental Strategy Development: Key Records	Retain until superseded + 10 years
Environmental Strategy Development: Working Papers	Retain from issue of strategy + 1 year
Environmental Management Policy Development: Key Records	Retain until superseded + 10 years
Environmental Management Policy Development: Working Papers	Retain from issue of policy + 1 year
Environmental Management Procedure Development	Retain from issue of procedures + 1 year
Environmental Management Procedure Development: Master Copies	Retain until superseded + 10 years
Environmental Audit	Retain until completion of audit + 5 years
Environmental Hazard Identification & Risk Assessment	Retain until elimination of risk + 5 years OR Updating of risk assessment + 5 years
Environmental Management Scheme Accreditation Management	Retain until termination of accreditation + 1 year
Environmental Awareness Promotion	Retain current + 5 years
Environmental Incidents	Retain until last action on incident + 40 years
Environmental Incident Investigations	Retain until closure of investigation + 40 years
Environmental Incident Reports to Authorities	Retain from date of notification + 5 years
Energy Monitoring	Retain current year + 5 years
Energy Management Reviews	Retain until completion of review + 5 years

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Waste Management (General Waste)	Retain until removal of waste consignment + 3 years
Waste Management ("Hazardous Waste")	Retain until removal of waste + 3 years
Student Administration Records	
Student records used to provide transcripts, replacement certificates, reference requests, confirmation of dates of attendance.	Retain permanently
Certificates of students who have not attended graduation/requested postage.	Retain permanently
Student Appeals, Communication of Results Forms	Retain for current academic year + 6 years
Criminal Record Checks	Retain until end of student relationship + 6 years
Student Support RAR Forms	Retain until end of student relationship + 1 year
External Examiner Appointment	Retain until end of appointment + 1 year
External Examiner Annual Reports	Retain for current year + 1 year
Missing Script Documentation/Senior Invigilator Reports	Retain for 1 year
Reference requests/replacement transcripts/letters of confirmation	Retain for 1 year
SLC Contracts	Retain for 3 years
Student Record Amendment Forms	Retain for student duration + 1 year
UCAS related communications	Retain for current year
Admissions Policy/Admission Complaints Policy	Retain for current year
Student Guide	Retain for current year
Graduation Refund Listings	Retain for current year

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Direct entry applications	Retain for current year
LEA Reports	Retain for current year + 1 year
Student Administration Financial Records	Retain for current year + 6 years
Academic Planning, Partnerships and International Affairs Records	
Records pertaining to Faculty Heads of Collaborative Courses Forum / Collaborative Partnerships Forum (from 2011/12)	Retain for life of committee + 5 years
Academic Planning Sub-Committee documents	Retain for life of committee + 5 years
PIP Board documents	Retain for life of the Board + 5 years
Agreements with partner institutions	Retain until termination of contract + 12 years
Financial records documenting: <ul style="list-style-type: none"> • preparation of annual operating budgets and records documenting the monitoring of income • expenditure against annual operating budgets, and action taken to deal with variances 	Retain for current financial year + 1 year
Records documenting the development and evaluation of job specifications	Retain until termination of employment + 6 years
Records documenting references provided in confidence in support of the employee's application(s) for employment by another organisation	Retain from provision of reference + 1 year
Records pertaining to Academic Planning, Partnerships and International Affairs Committee	Retain for life of committee + 5 years
APPIAC and ACEB agendas, minutes and supporting papers	Retain for life of committee + 5 years
US FSA student files	Retain for current financial/academic year + 6 years

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US FSA administrative files	Retain for current academic year + 5 years
US FSA compliance audits	Retain for current academic year + 5 years
US FSA policies and procedures	Retain until superseded + 5 years
International business policies and procedures	Retain until policy superseded + 5 years
Risk registers	Retain until superseded + 1 year
Student Support Records	
Student Support	Retain until superseded + 3 years
Support provider	Retain until superseded
Support provider application form reference	Retain from provision of reference + 1 year
Support provider interview notes	Retain for up to 1 year or until recruitment process is complete
Support provider AccessNI documents	Retain until termination of employment + 6 years (as part of employee contract records) except information that is not relevant to the on-going employment relationship.
Support provider statement of agreement	Retain for 3 years
Support provider learning plans	Retain until termination of employment + 6 years (as part of employee contract records) except information that is not relevant to the on-going employment relationship.
Support provider work records	Retain until superseded
Support provider personal documentation	Retain until the Support Provider withdraws or is withdrawn from the Register
Support provider student information	Retain for 3 years
Disability services student file documents	Retain for 7 years

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Disability services ASN for non-students	Retain until confirmation is received that the student is not attending Ulster University
Student funding applications	Retain until Issue of new strategy, policy or procedure + 1 year
Student funding payment records	Retain for 7 years
Counselling intake forms	Retain until Issue of new strategy, policy or procedure + 1 year
Counselling interview notes	Retain for 8 years
Counselling EC1 forms	Retain until Issue of new strategy, policy or procedure + 1 year
Child care parent application forms	Retain until Issue of new strategy, policy or procedure + 1 year
Health declaration form	Retain until Issue of new strategy, policy or procedure + 1 year
Research Office Records	
Records and working papers that develop and establish strategy, policies and procedures on research	Retain until superseded + 10 years Retain until Issue of new strategy, policy or procedure + 1 year
Records documenting the development of the quality and standards of research	Retain while current
Records documenting the identification and exploration of new opportunities which lead to research projects	Retain until completion of project
Records documenting the design and planning of research projects which are undertaken: key records	Retain until the completion of project + 10 years
Records documenting the design and planning of research projects which are undertaken: working papers	Retain until completion of project
Publications and presentations made to disseminate research results (NOT interim or final research reports)	Retain until publication/delivery + 3 years

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Records documenting the management of internally-funded research projects	Retain until completion of project + 3 years
Records documenting the management of externally-funded research projects	Retain until completion of project + 6 years
Records documenting the identification and exploration of new research opportunities which lead to research projects	Retain until completion of project
Records documenting the design and planning of research projects which are not undertaken	Retain until the abandonment or unsuccessful funding of plans + 1 year
Records documenting the preparation and submission of applications for funding, where the application is unsuccessful (i.e. does not result in the offer of a funding award)	Retain until the abandonment or unsuccessful funding of plans + 1 year
Records documenting the identification and exploration of new research opportunities which lead to research projects	Retain until completion of project
Publications and presentations made to disseminate research results (NOT interim or final research reports)	Publications and presentations made to disseminate research results (NOT interim or final research reports).
Records documenting the management of internally-funded research projects	Retain until completion of project + 3 years
Records documenting the management of externally-funded research projects	Retain until completion of project + 6 years
Records documenting spending of research grants	Retain until termination of grant + 6 years
Learning, Teaching and Student Experience Records	
Committee papers	Retain current academic year + 6 years
Working group papers	Retain for life of working group + 5 years
Steering group papers	Retain current academic year + 6 years

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Records pertaining to Quality Assurance and Enhancement Committee	Retain for life of committee + 5 years
Records pertaining to Senate	Retain for life of committee + 5 years
Records pertaining to Senate induction	Retain until superseded + 5 years
Records pertaining to Self-Effectiveness Review of Senate	Retain until the completion of two subsequent reviews
Records pertaining to Charter Review Group (2014/15)	Retain for life of committee + 5 years
QAA external reviews	Retain until completion of audit + 3 years
HEQC Collaborative Audit records	Retain until completion of audit + 3 years
QAA Audit of UK TNEIN China (2011/12) documents	Retain until completion of audit + 3 years
National Student Survey (2005-2011) documents	Retain reports for duration of current survey + 3 years
Annual Subject Monitoring documents	Retain for the current academic year + 5 years
Annual Course Review (Collaborative Courses) documents	Retain for the current academic year + 5 years
Module Monitoring documents	Retain for the current academic year + 5 years
Themed Audits documents	Retain until completion of audit + 3 years
Student Survey on the Quality of Teaching (SSQT) documents	Retain until completion of survey + 5 years
Institutional Approval Files	Retain for lifetime of partnership + 5 years
Institutional Re-Approval Files	Retain for lifetime of partnership + 5 years
Faculty Head Collaborative Courses: Annual Reports	Retain for the current academic year + 5 years
PSRB Reports	Retain for lifetime of relationship + 10 years
Student Complaints files	Retain from last action on complaint + 3 years

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Regulations templates	Retain until superseded + 10 years
DEL Foundation Degree Validation Group (external working group) documents	Retain from Issue of policy or procedure + 1 year
Academic Policies (as approved by committees, or in relation to external agencies)	Retain until superseded + 10 years Retain from issue of policy or procedure + 1 year
Prospectuses (copies)	Retain for current academic year
Teaching and Learning Strategy Annual Action Plans and Reports on Progress	Retain until superseded + 10 years
Teaching and Learning Strategy Working Papers	Retain until Issue of new strategy, policy or procedure + 1 year
Staff meetings – agendas, minutes	Retain from issue of policy or procedure + 1 year
Website updates	Retain until fully migrated to the Squiz corporate content management system
University Policy Documents	Retain until superseded + 10 years
Financial records documenting: <ul style="list-style-type: none">• preparation of annual operating budgets and records documenting the monitoring of income• expenditure against annual operating budgets, and action taken to deal with variances	Retain for current financial year + 1 year
Records documenting the development and evaluation of job specifications	Retain until termination of employment + 6 years
Records documenting references provided in confidence in support of the employee's application(s) for employment by another organisation	Retain from provision of reference + 1 year
Annual Record of Retention and Disposal of Documents evidencing authorisation for the transfer/disposal of redundant records	Retain until disposal of records + 25 years

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CHERP Membership applications	Retain for current academic year + 5 years
CHERP Finance documents (invoices, receipts, claim forms etc.)	Retain for current financial year + 6 years
CHERP feedback forms/event booklets	Retain for current academic year + 5 years
CHERP Awards applications	Retain for current academic year + 3 years
CHERP Attendance records	Retain for current academic year + 5 years
Preparation, planning and conduct of teaching and learning materials and events	Retain for the current academic year + 1 year
Design and development of assessments documents	Retain for the life of the programme or module
Submitted/completed assessments: summative assessments	Retain until confirmation of marks/grades by Board of Examiners + 6 months
Individual student marks and grades given to assessments (including awards and classifications)	Completion of student's module or programme + 6 years
Individual student feedback on academic progress and general academic guidance	Retain until end of student relationship + 6 years
Individual student marks, grades and feedback for summer school	Completion of student's module or programme + 6 years
Summaries, reports and analyses of taught programme effectiveness - CPPD, PEP	Retain for the current academic year + 5 years
Documentation of developing taught programmes and modules - PG CPD	Retain for the life of the programme or module + 10 years
Documentation of setting assessments, marking & grading, conducting meetings of examiners etc.	Retain for current academic year
Submitted/completed assessments	Retain until confirmation of marks/grades by Board of Examiners + 6 months
Reviews audits and responses on the quality and standards of teaching, including reports and analysis of module/programme effectiveness	Retain for current academic year

Records Retention and Disposal Schedule 2.2

Records in relation to the e-learning audit conducted by QMAU	Retain for the current academic year + 5 years
Non Award Bearing Working Group papers	Retain from Issue of policy or procedure + 1 year
Records in relation to the development of the Programme Support Area Template	Retain for life of programme + 5 years
Records in relation to the development of the Course Support Area for Course Directors	Retain for current academic year + 5 years
Records that develop and establish learning support strategy, policies and procedures on teaching	Retain until superseded + 10 years
Records in relation to development of CPPD & Postgraduate CPD Framework, PEP and other ADL academic programmes	Retain for the life of the programme or module + 10 years
Teaching and learning material in relation to the Professional Experience Programme	Retain for the current academic year + 1 year
Submitted assessments, marks, grades and feedback relation to the Professional Experience Programme	Retain for current academic year
Records containing data on, and analyses of, student numbers and other programme statistics	Retain for current academic year + 3 years
Documentation of preparation and conduct of teaching & learning events (eTutor training)	Retain current academic year + 1 year
Documentation of planning and conduct of teaching and learning events	Retain current academic year + 1 year
Records documenting the development of education and training programmes	Retain for life of programme + 5 years
Records documenting submitted/completed assessments: formative assessments	Retain current academic year

Records Retention and Disposal Schedule 2.2

Records documenting submitted/completed assessments: summative assessments	Retain until confirmation of marks/grades + 6 months.
Records documenting marks/grades given to submitted/completed summative assessments and, where appropriate, awards and classifications	Retain current academic year + 6 years
Records containing data on, and analyses of, student numbers and other programme statistics	Retain current academic year + 5 years
Contact Details of All community partners for Science Shop	Held jointly by Ulster and QUB. Reviewed regularly
Records documenting the design, conduct, organisation and summary results of student recruitment campaigns and events	Retain until completion of campaign or event + 5 years
Student Applications for STEP-UP	Successful - Retain until end of student relationship + 6 years Unsuccessful - Retain until completion of admissions process + 1 year.
Contact details of all students participating in Science Shop	Retain until end of student relationship + 6 years
Records held in JIRA documenting handling of queries from prospective students	Retain for current academic year + 1 year
Copies of student and community partner evaluations	Retain indefinitely
Records containing personal data on individual students/successful applications/admission & registration of new students	Retain until end of student relationship + 6 years
Documents with regard to academic programme administration - PEP/CPPD/PG CPD	Retain from current academic year + 3 years
Documents with regard to academic award administration - PEP/CPPD/PG CPD	Retain until superseded + 5 years Retain from issue of policy or procedure + 1 year

Records Retention and Disposal Schedule 2.2

Records related to Student Assessment Administration for the relevant ADL programmes/frameworks	Retain for current academic year
Records documenting individual students assessed work and submissions	Retain from current academic year + 1 year
Copies of Student project completed for community partner	Retain permanently
Records related to the administration of student assessment including committee servicing	Retain until superseded + 10 years Retain from Issue of policy or procedure + 1 year Retain current academic year + 6 years
Records documenting the selection & appointment of external examiners	Retain until termination of appointment + 1 year
Records documenting the process of determining tuition fees	Retain from current academic year + 5 years
Administration of Professional Experience Programme Bursaries	Retain for current financial year
Student Survey - Full dataset, including historical responses for the Student Survey	Retain until completion of survey + 5 years
Records related to the tracking of income and expenditure against budget	Retain for current financial year + 1 year
Records documenting the advertising of vacancies for placement students	Retain until completion of recruitment process + 3 months
Records documenting the handling of applications for vacancies for placement students: unsuccessful applications	Retain until completion of recruitment process + 3 months
Records documenting enquiries about vacancies and requests for application forms. (placement students & postgraduate casual work)	Retain until completion of recruitment process

Records Retention and Disposal Schedule 2.2

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)	Retain until termination of employment + 6 years (as part of employee contract records) except information which is not relevant to the on-going employment relationship.
Records documenting the employees training and development needs & DAR	Retain for duration of employment + 1 year
Records documenting the design and development of promotional materials	Retain while materials are current
Masters copies of procedures related to the management of Blackboard Learn	Retain until superseded + 3 years
Records documenting the initial development and post implementation modification, updates and maintenance of Blackboard Learn	Retain from decommissioning of system + 5 years
Records documenting faults reported by users of Blackboard Learn and action taken to resolve (held in JIRA)	Retain from last action on fault + 1 year
Departmental Purchase orders (e5 system) including associated paperwork	Retain for current financial year + 6 years
Records documenting the design, commissioning, editing and production of publications	Retain from issue of publication + 1 year
Records documenting general enquiries from other institutions or bodies in the sector, internal handling and responses given	Retain from last action of enquiry + 1 year
Records documenting enquiries from members of the local community and the responses provided	Retain from last action of enquiry + 1 year
Records documenting the design and conduct of community surveys	Retain from completion of survey + 3 years
Records of community surveys - individual responses	Retain from completion of analysis of survey responses

Records Retention and Disposal Schedule 2.2

Records of community surveys - summaries and analyses of responses	Retain from completion of survey + 3 years
Records documenting the organisation and administration of local community events	Retain from completion of event + 1 year
Records in the category of Business Unit Management	Retain current calendar year Retain current calendar year + 1 year Retain until date of meeting Retain current calendar year + 3 years
Model sign off permission forms for over and under 18s for video shoots, photos & audio recordings	Retain for current academic year + 5 years Office for Digital Learning – retain indefinitely
Academic Office Records	
Committee papers	Retain for life of committee + 30 years
Working group papers	Retain for life of working group + 5 years
Steering group papers	Retain for life of steering group + 6 years
Plagiarism Annual Reports to LTC	Retain for current academic year + 5 years
Academic Planning Sub-Committee documents	Retain for life of committee + 5 years
Regulations templates	Retain until superseded + 10 years
PIP Board documents	Retain papers for current academic year + 5 years
CMS Project Board	Retain papers for current academic year + 5 years
Evaluation/Revalidation papers	Retain for the life of the programme or module + 10 years
Evaluation/ Revalidation schedules	Retain for the life of the programme or module + 10 years
Evaluation/Revalidation external panel members expenses	Retain for current financial year + 6 years
Annual validation briefing seminar documents	Retain for current academic year + 5 years

Records Retention and Disposal Schedule 2.2

Course files (servicing panels, reports, follow-up documentation, programme documentation)	Retain for the life of the programme or module + 25 years
Handbooks for: <ul style="list-style-type: none"> • Programme Approval, Management and Review • Partnership • Members of University Evaluation Panels • Members of University Revalidation Panels • Members of Evaluation Panels in External Institutions • Members of Revalidation Panels in External Institutions • External Examiners • Assessment 	<p>Retain for 20 years then transfer to University Archive</p> <p>Retain for 20 years then transfer to University Archive</p> <p>Retain for 5 years</p> <p>Retain for 5 years</p> <p>Retain for 5 years</p> <p>Retain for 5 years</p> <p>Retain for 20 years then transfer to University Archive</p> <p>Retain for 20 years then transfer to University Archive</p>
Academic Policies (as approved by committees, or in relation to external agencies)	Retain until superseded + 20 years
Prospectuses (Academic Office copies)	Retain for 40 years to support syllabus searches
Syllabus Searches	Retain records of requests and outcomes of individual searches for current academic year + 5 years
Details relating to financial transactions for syllabus searches	Retain for current financial year + 1 year
Access Courses queries	Retain for current academic year + 1 year
External Examiner Nominations	Retain until termination of appointment + 1 year
Recognised Teacher Nominations	Retain for current academic year + 5 years
Establishment of and revisions to terms and conditions of University prizes	<p>Retain until end of prize + 1 year.</p> <p>Retain prizes and revisions not approved for current academic year + 5 years.</p>

Records Retention and Disposal Schedule 2.2

Documentation relating to notification of prize winners and related correspondence	Retain for current academic year + 5 years
Details relating to financial transactions for prizes	Retain for current academic year + 1 year
Academic Office Annual prize listing	Retain for current academic year + 5 years
Teaching and Learning Strategy Annual Action Plans and Reports on Progress (now superseded)	Retain for life of strategy + 5 years
Teaching and Learning Strategy Working Papers (now superseded)	Retained until issue of new strategy, policy or procedure + 1 year
Academic Office Risk Register	Retain until superseded + 3 years
Academic Office Pandemic Flu Plan	Retain until superseded + 1 year
Academic Office staff meetings – agendas, minutes	Retain for current academic year + 3 years
Academic Office Website updates	Retain for current academic year + 3 years
Academic Office Documentation for Internal Audit of Academic Office procedures	Retain evidence base for current academic year + 1 year. Retain report in AO for 10 years or until updated
Academic Office copy of University Policy Documents (issued by other departments.)	Retain until superseded + 1 year
Agreements with partner institutions	Retain copy in Academic Office until superseded or agreement ends + 5 years

Records Retention and Disposal Schedule 2.2

Academic Office Financial records documenting: <ul style="list-style-type: none">• preparation of annual operating budgets and records documenting the monitoring of income• expenditure against annual operating budgets, and action taken to deal with variances	Retain for current financial year + 3 years Retain for current financial year + 6 years (paper copy)
Academic Office Records documenting the development and evaluation of job specifications	Retain until superseded + 5 years
Academic Office Records containing employees' basic personal details (e.g. address information)	Retain until superseded or until staff member leaves
Academic Office Records documenting references provided in confidence in support of the employee's application(s) for employment by another organisation	Retain from provision of reference + 5 years
Academic Office Annual Record of Retention and Disposal of Documents evidencing authorisation for the transfer/disposal of redundant records	Retain for 40 years in Academic Office Archive.

UNIVERSITY ARCHIVE

Originating departments should retain all records which they need for their own operational purposes for as long as they need them. Records should only be transferred to the University Archive when they cease to be operationally relevant.

Where it has been noted that records should be retained permanently by the University Archive, such records may eventually be deposited in the Public Record Office of Northern Ireland (PRONI) in accordance with any future strategy agreed between the University and PRONI.

In the event of any required change in retention period, e.g. changes in legislation, the University Archivist will have the discretion to make such a change, consulting as appropriate the Departments/Faculties concerned.

OTHER RELEVANT POLICIES

- Document Management Policy