

### Academic Affairs Records Retention Schedule

	Description of Records	Retention Trigger and Retention Period	Disposal Action	Rationale for Retention Period and Disposal Action	Records Owner
<b>1 Programme Management</b>					
1.1	Records documenting the design, development, amendment, and withdrawal of modules within taught and/or research degree programmes giving module specifications and assessments including collaborative arrangements	Life of Programme and/or collaborative partnership + 6 years	Review	Potential Archival/Historical value	Academic Affairs - Courses and Regulations Group, the Group Secretary retains minutes of decisions; Schools - retention is based on their business need
1.2	Module descriptions and specifications as published in Q SIS	n/a	Retain	Module description to be retained permanently as needed to provide student transcripts and for historic record	Student Registry Services
1.3	Records documenting the process of obtaining approval, renewal, withdrawal and/or accreditation for (modules of) taught and/or research degree programmes from professional, statutory or other accreditation bodies (including collaborative arrangements)	End of Life of the Programme and/or collaborative partnership + 6 years	Review; accreditation reports are archived	Potential Archival/Historical value (e.g. significant partnerships)	Academic Affairs - Courses and Regulations Group, the Group Secretary retains minutes of decisions; Schools - retention is based on their business need
1.4	Programme Management Forms submitted by Schools detailing new programmes/modules; amendments to existing programmes/modules; or withdrawal of programmes/modules; PEM (Programme Evaluation Meeting) Reports; Approval to Proceed Forms; Validation Reports for Collaborative Programmes	End of Life of the Programme + 6 years	Review	Any information recorded in Q SIS is permanently retained	CRG (Courses and Regulations Group) Secretary (Academic Affairs) and CPG (Collaborative Provision Group) Secretary (Academic Affairs)
<b>2 Examiners</b>					
2.1	Records documenting the appointment of external examiners and examiner concessions for undergraduate and postgraduate taught programmes (including databases)	End of appointment + 6 years	Destroy		UG/PGT Administrator ( <b>Academic Affairs</b> )
2.2	Records of approval of external examiners and examiner concessions for Research Degree Programmes (including databases)	End of academic year + 1 year for records held in Academic Affairs; the core record is held on Q SIS which is permanently retained	Destroy	Best practice	PGR Administrator ( <b>Academic Affairs</b> )
2.3	Names of External Examiners appointed for <b>Postgraduate Research students that are recorded on Q SIS</b>	n/a	Retain	On student's Q SIS record	Student Registry Services
2.4	External Examiner reports - Undergraduate and Postgraduate Taught	End of assessment + 6 years	Review	Limitation (NI) Order 1989; Data Protection Act, 2018	UG/PGT (Undergraduate/Post-graduate taught) Administrator ( <b>Academic Affairs</b> )
2.5	External Examiner reports - Postgraduate Research	n/a	Retain	On student's Q SIS record	Student Registry Services
2.6	Copies of School responses to External Examiner Reports for undergraduate and postgraduate taught programmes	End of assessment + 6 years	Review		Academic Affairs
2.7	External Examiner fees and expenses	End of current financial year + 6 years	Destroy	Taxes Management Act 1970	Student Registry Services

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<b>3 Collaborative Provision</b>					
3.1	Memorandums of Agreement/ Understanding (Institutional agreement with collaborative partners setting out the terms upon which each institution will work together to deliver a particular programme to students)	End of agreement + 12 years	Review	May hold historic/archive value - business purpose	CPG (Collaborative Provision Group)
3.2	Collaborative Research Degree Programme Student Agreement outlining the details of the students research and supervision arrangements	End of agreement + 12 years	Review	May hold historic/archive value	CPG (Collaborative Provision Group)
3.3	Collaborative Provision Register containing details of all collaborative agreements	n/a	Review	Collaborative Provision Register is updated on an ongoing basis	CPG (Collaborative Provision Group)
3.4	Recognised Teacher Application Forms and Assessors Reports (form used by schools and colleges and partner institutions to apply for recognised teacher status)	End of role + 1 year	Destroy		CPG (Collaborative Provision Group)
3.5	Recognised Teacher Database	End of academic year	Review	Ensure it is up-to-date	CPG (Collaborative Provision Group)
<b>4 Honorary Titles, Visiting Research Titles</b>					
4.1	Records relating to Visiting Research Titles including nomination forms (form used by Schools to nominate a person for a visiting research title); copy of appointment letters	End of appointment period (academic year end) + 1 year (as title may be renewed)	Destroy	A record will remain on the Additional Persons Database	HTG (Honorary Titles Group) Secretary (Academic Affairs)
4.2	Records relating to Honorary Titles including nomination forms (form used by Schools to nominate a person for an Honorary title) copy of appointment letters; CVs, references	End of appointment period (academic year end) + 1 year (as title may be renewed)	Destroy	A record will remain on the Additional Persons Database	HTG (Honorary Titles Group) Secretary (Academic Affairs)
4.3	Database used to record people who held Visiting Research Titles and Honorary Titles	End of academic year in which the appointment expires + 2 years	Destroy		HTG (Honorary Titles Group) Secretary (Academic Affairs)
<b>5 Strategic Planning and Policy Development</b>					
5.1	Strategy and Policy Documents relating to Academic Affairs and Student Affairs	n/a	Archive	Potential historic/research value	Academic and Student Affairs
5.2	Procedures of Academic and Student Affairs that include dealing with Academic Offences, Fitness to Practice, Students Complaints that are included in the General Regulations	n/a	Archive	Potential historic/research value	Academic Affairs
5.3	Records relating to the assessment of the impact of policies/procedures	Superseded + 6 years	Review		Academic Affairs
5.4	Notification of student fatalities to stakeholders under the University's Protocol	End of current year + 1 year	Destroy		PA to DASA Director
<b>Quality Review</b>					
<b>6 External Quality Review</b>					
6.1	Records relating to the management of quality reviews carried out by external bodies e.g. QAA: key documents	n/a	Archive	To preserve evidence of quality and validity of courses	Academic Affairs
6.2	Records relating to the management of quality reviews carried out by external bodies e.g. QAA: working papers	Completion of audit + 6 years	Review	To ensure paperwork is available for conduct of next audit	Academic Affairs
6.3	Higher Education Review Self-Evaluation Forms - submitted for Higher Education Review	Completion of audit + 6 years	Destroy		Academic Affairs

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6.4	Responses to Consultations - external and internal	End of current year + 1 year	Review	Potential historic/research value	Academic Affairs
6.5	Performance monitoring and analysis records including records documenting benchmarking exercises with other comparable institutions	End of current year + 1 year	Review		Relevant secretary/administrator in Academic Affairs; PA to Director
6.6	Records relating to Collaborative Periodic Reviews and validations undertaken within partner institutions	Completion of next review/validation	Destroy		CPG (Courses and Regulations Group)/RPC (Research and Postgraduate Committee)
<b>7 Internal Quality Review</b>					
7.1	Records assessing the impact of policies and procedures	n/a	Archive	Records reported to committees will be permanently retained	Academic Affairs
7.2	Records relating to Annual Programme Reviews/CAPE (Continuous Action for Programme Enhancement) undertaken for each academic programme - taught and research	n/a	Archive	Records reported to committees will be permanently retained	Academic Affairs - Quality Review
7.3	Records relating to the follow-up to Programme Reviews/CAPE	End of Programme Review + 6 years; records that are reported to committees will be retained permanently	Review		Academic Affairs - Quality Review
7.4	Records relating to the Periodic Review and Enhancement Process (PREP) (or equivalent internal periodic review process) undertaken within Schools	Completion of next internal periodic review	Archive	Reported to CRG so the records are permanently retained. Records include School Reflective Statement, Panel Report and School Action Plan	CRG (Courses and Regulations Group)
<b>8 Professional, Statutory, Regulatory Bodies (PSRB) Requirements</b>					
8.1	Accreditation/Validation by Professional, Statutory or Regulatory Bodies (PSRBs) - Final reports	n/a	Archive	To preserve evidence of quality and professional recognition of courses	University Archive
8.2	Accreditation/Validation by Professional, Statutory, Regulatory Bodies (PSRBs) - papers submitted to Academic Affairs by Schools that obtained accreditation	Completion of next audit/review + 6 years	Review		Academic Affairs
<b>9 Publications</b>					
9.1	Publications - General Regulations, Student Charter	n/a	Archive	Hold archival/historical value	Academic Affairs
9.2	Records relating to the commissioning, design, editing and production of publications	Publication date + 1 year	Review	May have administrative value in regard to the production of further publications	Academic Affairs
<b>10 Scholarships</b>					
10.1	Scholarships and Awards Regulations Handbook pertaining to current University scholarships, prizes and awards	Permanent/ongoing	Review	Potential historic/archival value	Scholarships and Awards Group Secretary ( <b>Academic Affairs</b> )
10.2	HEAR (Higher Education Achievement Records) records of academic and extracurricular achievements that are included in a student's QSIS record	n/a	Retain	On student's QSIS record	Student Registry Services
10.3	Electronic records related to scholarship applications, including entries in a database, outcome letters and travel reports	End of academic year + 6 years. There are some records relating to prizes/awards granted to students held on QSIS.	Destroy	Data Protection Act 2018; Freedom of Information Act 2000; The Limitation NI Order 1989	Scholarships and Awards Group Secretary ( <b>Academic Affairs</b> ). All records held in QSIS are retained.
10.4	List of all prize/scholarship/bursary recipients across the University	n/a	Archive	JISC Recommendation; historic/research value	University Archive

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10.5	Records relating to Scholarship fund administration including travel reports	End of current financial year + 6 years (round up to 7 years)	Destroy		Scholarships and Awards Group Secretary <b>(Academic Affairs)</b>
10.6	Scholarship Payment Requests	End of financial year + 6 years	Destroy		Academic Affairs
10.7	Scholarship Payment Database	End of financial year + 6 years	Destroy		Academic Affairs
<b>11 Student Discipline/Appeals/Complaints records held by Academic and Student Affairs</b>					
11.1	Records relating to complaints cases dealt with by NIPSO (Northern Ireland Public Services Ombudsman); student appeals; Stage 2 complaints from students; other student complaints; academic offences, all dealt with by Academic Affairs	End of academic year in which Committee met + 10 years	Destroy	Data Protection Act 2018; Limitation (NI) Order 1989	Appeals & Complaints lead Administrator within Academic Affairs
11.2	Records relating to complaints cases dealt with by NIPSO (Northern Ireland Public Services Ombudsman); Student appeals; Stage 2 complaints from students; other student complaints; Academic Offences cases; student discipline which are all dealt with by Academic Affairs and copies are held by the Office of the Director of DASA	Last action on case + 10 years	Destroy	All paperwork is held by Academic Affairs	Academic Affairs
11.3	Fitness to Practice cases - Schools seeking permission to proceed with the FtP procedure from the Director of Academic and Student Affairs	Last action on case + 6 years	Destroy	Limitation (NI) Order 1989	PA to DASA Director
11.4	Personal and Sensitive Appeals to the Director of Academic and Student Affairs - paperwork	Last action on case + 6 years; retain outcome letter and form	Destroy	Limitation (NI) Order 1989	PA to DASA Director
11.5	Personal and Sensitive Appeals to the Director of Academic and Student Affairs - Database	Last action on case + 6 years	Delete	Limitation (NI) Order 1989	PA to DASA Director
11.6	Admissions Appeals (Stage 2 to the Director of Academic and Student Affairs)	Outcome of Stage 2 appeal + 1 year	Destroy	Limitation (NI) Order 1989	PA to DASA Director
<b>12 Concessions</b>					
12.1	Records relating to requests for concessions to the General Regulations which may relate to an individual student or a student cohort (including databases)	Current academic year + 6 years, anonymised information is reported to RPC/EC, so retained permanently	Destroy		Academic Affairs
12.2	Records relating to concession requests to the Programme regulations which may relate to an individual student or a student cohort	Current academic year + 6 years, anonymised information is reported to CRG, so retained permanently	Review		Academic Affairs