



ULSTER UNIVERSITY

RETENTION AND DISPOSAL SCHEDULE

1. INTRODUCTION

This Records Retention and Disposal Schedule (the “**Schedule**”) sets out the retention and disposal requirements for records within Ulster University (the “**University**”). This Schedule is an essential component of the University’s records management programme and forms part of the overall University Records Management Policy (the “**Records Policy**”), which should be read in conjunction with the Schedule and accessed here.

https://www.ulster.ac.uk/_data/assets/pdf_file/0010/687124/Records-Management-Policy.pdf/_nocache

Reference to a “record” within this Retention and Disposal Schedule shall mean any information or data created, received, and maintained as evidence and retained by the University in pursuit of its legal obligations or pursuant to its activities. The records may comprise personal data, as defined within the Data Protection Act 2018 and non-personal data. These records may be in any form, that being either electronic or traditional hardcopy format.

The Retention and Disposal Schedule shall ensure that records are retained for as long as may be required for operational or business needs or to fulfil any statutory obligations. Further, it shall ensure that when no longer required, records are disposed of in a documented, timely and appropriate manner in an approach that is consistent across the entire University. It shall be implemented by the University staff, which for the purposes of this Schedule includes employees, temporary and agency workers, contractors and all other third-party users (“**University Staff**”).

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

<https://www.jisc.ac.uk/guides/records-retention-management>

2. RELEVANT LEGISLATION

The following legislation (as amended from time to time) will apply to the University and its treatment of any records:

- Public Records Act (NI) 1923
- Disposal of Documents Order (NI) 1925
- The Public Records Act 1958
- The Freedom of Information Act 2000
- Environmental Information Regulations 2004
- Data Protection Act 2018
- UK General Data Protection Regulation
- Audit and accountability legislation.

- Employment legislation

3. PURPOSE, AIMS AND SCOPE OF THE SCHEDULE

The purpose of this Schedule is to:

- enable the University to meet the legal and regulatory obligations under the above referenced legislation
- to comply with our data protection obligations, in particular to keep personal data no longer than is necessary for the purposes for which it is processed, being the storage limitation principle.
- to manage risk and avoid potential liabilities of retaining records unnecessarily.
- identify the minimum period for which records should be retained.
- outline the action required when the minimum retention period has been reached.
- provide a basis for consistent action across the University for the treatment of all University records.

The aims of this Schedule include:

- the promotion of control over the University's records
- enabling University employees to confidently dispose of records which are no longer needed.
- ensuring retention of the minimum volume of records as consistent with space, time and cost efficiencies

Moreover, the scope of this Schedule is across all records created, captured, maintained, used or destroyed by the University across its core activities of research, learning, teaching and all supporting activities which it undertakes.

4. RECORD TYPES, RETENTION PERIODS AND DISPOSAL METHODS

Record types and their retention periods can be found below at Annex A below, which comprises the following detail:

I. RECORD DESCRIPTION

The type or category of record, applying equally to all formation of record (hard copy, digital or other form).

II. RETENTION PERIOD

Retention periods are based upon the specific business needs of the University in addition to the regulatory environment within which the University operates. The retention period for each record is calculated from the point the record is closed.

III. DISPOSAL METHOD

There are five possible potential disposal outcomes for all records:

- Destroy/delete:** These are records to which the University considers provides no continuing business, legal or regulatory value and are of no historical or research value to the Public Records Office of Northern Ireland ("**PRONI**").
- Consult with department lead before disposal:** Destruction must be approved by the department lead.
- Consult for archive value:** these are records requiring review. They are reviewed by University Staff at specified periods to determine if there is a continuing business need for their retention and by PRONI to determine if they are required for historical or research purposes.

- d) **Archive:** these records have ceased to be operationally relevant to the business of the University. Where it has been noted that records should be retained permanently by the University Archive, such records may eventually be deposited in the PRONI in accordance with any future strategy agreed between the University and PRONI.
- e) **Anonymise and Retain (includes digital):** records are to be anonymised and permanently retained with the University for administrative or legislative purposes and will be physically or digitally managed in an accessible format within accredited record keeping systems.

5. ELECTRONIC AND HARD COPY RECORDS

Whilst the retention and disposal requirements by record type are the same, the method of retention and disposal will be different between hardcopy records and electronic records. See https://www.ulster.ac.uk/_data/assets/pdf_file/0010/687124/Records-Management-Policy.pdf/_nocache for further information on the procedures for each type of record.

6. ROLES AND RESPONSIBILITIES

All University Staff are responsible for documenting their actions and decisions, and for maintaining the records in accordance with this Schedule, the Records Management Policy and University practices.

The head of the originating Department or Faculty has the primary responsibility for: identifying record types; marking records (visibly or electronically) with type, retention, and disposal dates; and actual retention and disposal.

The University Secretary in consultation with the Chief Digital and Information Officer has overall responsibility for ensuring that each department complies with the requirements of legislation affecting the management of records, and with any supporting regulations and codes.

7. RECORD TYPES AND RETENTION PERIODS

Record types and their retention periods can also be found and searched using the online tool at the link below (Only available to staff and Students).

<https://www.ulster.ac.uk/isd/schedule-checker>

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Academic Office

Record Description	Category	Trigger Event	Retention Policy	Disposal Method
Academic Office Annual prize listing	Awards & Prizes	Academic Year End	Retain for current academic year + 5 years	Consult for Archive value
Academic Office Annual Record of Retention and Disposal of Documents evidencing authorisation for the transfer/disposal of redundant records	Operations & Procedures	Academic Year End	Retain for 40 years in Academic Office Archive.	Destroy/Delete
Academic Office Documentation for Internal Audit of Academic Office procedures	Operations & Procedures	Academic Year End	Retain evidence base for current academic year + 1 year. Retain report in AO for 10 years or until updated	Destroy/Delete
Academic Office Pandemic Flu Plan	Operations & Procedures	Record superseded	Retain until superseded + 1 year	Destroy/Delete
Academic Office Risk Register and Business Continuity Plan	Operations & Procedures	Record superseded	Retain until superseded + 3 years	Destroy/Delete
Academic Policies (as approved by committees, or in relation to external agencies)	Operations & Procedures	Record superseded	Retain until superseded + 20 years	Consult for Archive value
Access Courses queries	Course Related	Academic Year End	Retain for current academic year + 1 year	Destroy/Delete
Agreements with partner institutions	Contracts and agreements	Academic Year End	Retain copy in Academic Office until superseded or agreement ends + 5 years	Destroy/Delete
Annual validation briefing seminar documents	Meeting Papers	Academic Year End	Retain for current academic year + 5 years	Destroy/Delete
Committee papers	Meeting Papers	End of Group / Committee	Retain for life of committee + 5 years	Destroy/Delete
Course files (servicing panels, reports, follow-up documentation, programme documentation)	Course Related	End of Course / Prog / Module	Retain for the life of the programme or module + 25 years	Consult for Archive value

Details relating to financial transactions for prizes	Finance Related	Academic Year End	Retain for current academic year + 1 year	Destroy/Delete
Details relating to financial transactions for syllabus searches	Finance Related	Financial Year End	Retain for current financial year + 1 year	Destroy/Delete
Documentation relating to notification of prize winners and related correspondence	Awards & Prizes	Academic Year End	Retain for current academic year + 5 years	Destroy/Delete
Establishment of and revisions to terms and conditions of University prizes	Awards & Prizes	Academic Year End	Retain until end of prize + 1 year. Retain prizes and revisions not approved for current academic year + 5 years.	Consult for Archive value
Evaluation/Revalidation external panel members expenses		Financial Year End	Retain for current financial year + 6 years	Destroy/Delete
Evaluation/Revalidation papers and schedules	Meeting Papers	End of Course / Prog / Module	Retain for the life of the programme or module + 10 years	Destroy/Delete
External Examiner and Recognised Teacher Nominations	Awards & Prizes	Academic Year End	Retain until termination of appointment + 1 year, if approved Retain for current academic year + 5 years, if unapproved	Destroy/Delete
External Reviews (e.g. QAA)	Reports	Record superseded	Retain draft submissions until accepted as final version + 3 months. Retain final version until superseded	Destroy/Delete
Handbooks for Assessment	Handbooks	Record Creation	Retain for 20 years then transfer to University Archive	Move to Archive
Handbooks for External Examiners	Handbooks	Record Creation	Retain for 20 years then transfer to University Archive	Move to Archive
Handbooks for Members of Evaluation Panels in External Institutions	Handbooks	Record Creation	Retain for 5 years	Destroy/Delete

Handbooks for Members of Revalidation Panels in External Institutions	Handbooks	Record Creation	Retain for 5 years	Destroy/Delete
Handbooks for Members of University Evaluation Panels	Handbooks	Record Creation	Retain for 5 years	Destroy/Delete
Handbooks for Members of University Revalidation Panels	Handbooks	Record Creation	Retain for 5 years	Destroy/Delete
Handbooks for Partnership	Handbooks	Record Creation	Retain for 20 years then transfer to University Archive	Move to Archive
Handbooks for Programme Approval, Management and Review	Handbooks	Record Creation	Retain for 20 years then transfer to University Archive	Move to Archive
Plagiarism Annual Reports	Operations & Procedures	Academic Year End	Retain for current academic year until superseded + 20 years	Destroy/Delete
Prospectuses (Academic Office copies)	Course Related	Record Creation	Retain for 40 years to support syllabus searches	Consult for Archive value
Regulations templates	Operations & Procedures	Record superseded	Retain until superseded + 10 years	Destroy/Delete
Steering group papers	Meeting Papers	End of Group / Committee	Retain for life of steering group + 6 years	Destroy/Delete
Syllabus Searches	Course Related	Academic Year End	Retain records of requests and outcomes of individual searches for current academic year + 5 years	Destroy/Delete
Working group papers	Meeting Papers	End of Group / Committee	Retain for life of working group + 5 years	Consult with dept lead before disposal

Access, Digital and Distributed Learning Records

Record Description	Category	Trigger Event	Retention Policy	Disposal Method
Access Bursaries and other WAP support fund (eg Fund for International Travel)	Finance Related	End of Contract / Relationship / Programme	Retain indefinitely	Move to Archive
Access NI ID Checks	Admin	Action Completion	Retain copies of ID for 90 days after certificate issued.	Destroy/Delete

Access NI notification of clearance	Admin	Action Completion	Retain instance of clearance in online system indefinitely	Move to Archive
Administration of Professional Experience Programme Bursaries	Admin	Financial Year End	Retain for current financial year + 6 years	Destroy/Delete
Blackboard Predict analytics data consisting of interactions within Blackboard, grades and sample anonymised demographic data.	Reports	Academic Year End	Retain for current academic year until the end of the project.	Destroy/Delete
Boards of Examiners and External Examiner reports	Reports	Academic Year End	Retain for current academic year + 6 years	Destroy/Delete
Care Leavers data including student numbers and letters/emails from social workers to inform their status.	Student Related	End of Course / Prog / Module	Retain for duration of course + 1 year	Destroy/Delete
Committee papers - Distributed Education Board (Senate) - Widening Access and Community Engagement Sub Committee (Learning and Teaching Committee) - Digital Learning Sub Committee (Learning and Teaching Committee)	Meeting Papers	End of Group / Committee	Retain for life of committee + 5 years	Destroy/Delete
Contact Details of All community partners for Science Shop	Admin	Record Creation	Held jointly by Ulster and QUB. Retain until end of Science shop project + 10 years	Destroy/Delete
Copies of module content and interactions within Blackboard Learn.	Course Related	Academic Year End	Retain for current academic year + 6 years.	Destroy/Delete
Copies of Student project completed for community partner	Student Related	Record Creation	Retain indefinitely	Move to Archive

Course Committee papers IFP PGCPD, CPPD, PGCPD, PGCPP	Meeting Papers	End of Group / Committee	Retain for life of committee + 5 years	Destroy/Delete
Discovery Scholar Scheme	Course Related		Retain indefinitely	Move to Archive
Documentation of developing taught programmes and modules - PG CPD	Course Related	Record Creation	Retain indefinitely	Move to Archive
Documentation of preparation and conduct of teaching & learning events (eTutor training)		Academic Year End	Retain for current academic year + 6 years	Destroy/Delete
Documentation of setting assessments, marking & grading, conducting meetings of examiners etc.	Course Related	Academic Year End	Retain for current academic year	Destroy/Delete
Documentation relating to award of Care Leavers Bursary	Student Related	End of Group / Committee	Retain indefinitely	Move to Archive
Documents with regard to academic award administration - PEP/CPPD/PG CPD		Record Creation	Retain indefinitely	Digitally archived
Documents with regard to academic programme administration - PEP/CPPD/PG CPD		End of Course / Prog / Module	Retain for duration of programme + 5 years	Destroy/Delete
External examiner claims forms IFP, PGCPD, CPPD, PGCPD, PGCPP	Finance Related	Financial Year End	Retain for current financial year + 6 years	Destroy/Delete
Individual student feedback on academic progress and general academic guidance	Student Related	Academic Year End	Retain until end of student relationship + 6 years	Destroy/Delete
Individual student marks and grades given to assessments (including awards and classifications)	Student Related	Academic Year End	Completion of student's module or programme + 6 years	Destroy/Delete

Master copies of procedures related to the management of Blackboard Learn	Operations & Procedures	Record superseded	Retain until superseded + 3 years	Destroy/Delete
Model sign off permission forms for over and under 18s for video shoots, photos & audio recordings	Permissions / Authorisations	Academic Year End	Retain for current academic year + 5 years	Destroy/Delete
Policies and procedures	Operations & Procedures	Record superseded	Retain until superseded + 10 years	Consult for Archive value
Preparation, planning and conduct of teaching and learning materials and events		Academic Year End	Retain for the current academic year + 1 year	Destroy/Delete
Records containing personal data on individual students/successful applications/admission & registration of new students	Student Related	Academic Year End	Retain until end of student relationship + 6 years	Destroy/Delete
Records documenting enquiries from members of the local community and the responses provided		Action Completion	Retain from last action of enquiry + 1 year	Destroy/Delete
Records documenting faults reported by users of Blackboard Learn and action taken to resolve (held in JIRA)	Reports	Action Completion	Retain from last action on fault + 1 year	Destroy/Delete
Records documenting individual students assessed work and submissions	Student Related	Academic Year End	Retain for current academic year + 1 year	Destroy/Delete
Records documenting marks/grades given to submitted/completed summative assessments and, where appropriate, awards and classifications		Academic Year End	Retain for current academic year + 6 years.	Destroy/Delete
Records documenting submitted/completed assessments: formative assessments		Academic Year End	Retain current academic year	Destroy/Delete

Records documenting submitted/completed assessments: summative assessments		Academic Year End	Retain until confirmation of marks/grades + 6 months.	Destroy/Delete
Records documenting the design, commissioning, editing and production of publications		Record Creation	Retain from issue of publication + 1 year	Destroy/Delete
Records documenting the initial development and post implementation modification, updates, and maintenance of Blackboard Learn		Action Completion	Retain from decommissioning of system + 5 years	Destroy/Delete
Records documenting the organisation and administration of local community events		Action Completion	Retain from completion of event + 1 year	Destroy/Delete
Records held in JIRA documenting handling of queries from prospective students	Student Related	Academic Year End	Retain for current academic year + 1 year	Destroy/Delete
Records in relation to development of CPPD & Postgraduate CPD Framework, PEP and other ADL academic programmes		End of Course / Prog / Module	Retain for the life of the programme or module + 10 years	Destroy/Delete
Records related to the administration of student assessment including committee servicing	Student Related	Academic Year End	Retain current academic year + 5 years or Life of course + 1 year	Destroy/Delete
Science Shop Projects including Ulster University student details	Student Related	Academic Year End	Retain until completion of student's module or programme + 10 years	Destroy/Delete
Student appeals IFP, PGCPD, CPPD, PGCPD, PGCPP	Student Related	Academic Year End	Retain from last action on case + 6 years	Consult with dept lead before disposal
Student Applications for STEP-UP	Student Related	Academic Year End	Successful - Retain until end of student relationship + 6 years	Destroy/Delete

			Unsuccessful - Retain until completion of admissions process + 1 year.	
Student Applications IFP, PGCPD, CPPD, PGCPD, PgCPP	Student Related	Academic Year End	Unsuccessful - Retain until completion of admissions process + 1 year.	Consult with dept lead before disposal
Student marks IFP, PGCPD, CPPD, PGCPD, PGCPP	Student Related	Academic Year End	Retain until completion of student's module or programme + 6 years	Destroy/Delete
Student records IFP, PGCPD, CPPD, PGCPD	Student Related	Academic Year End	Retain until completion of student's module or programme + 6 years	Destroy/Delete
Submitted assessments, marks, grades and feedback relation to the Professional Experience Programme		Academic Year End	Retain for current academic year + 9 years	Destroy/Delete
Summaries, reports and analyses of taught programme effectiveness - CPPD, PEP	Course Related	End of Course / Prog / Module	Retain for duration of programme + 5 years	Destroy/Delete
Teaching and learning material in relation to the Professional Experience Programme		Academic Year End	Retain for current academic year + 9 years	Destroy/Delete
Turnitin submissions for plagiarism/originality checking.		Academic Year End	Retain for current academic year until end of contract with Turnitin.	Destroy/Delete
Tutoring in Schools projects to include university student details	Student Related	Academic Year End	Retain until completion of student's module or programme + 10 years	Destroy/Delete

Campus Life

Record Description	Category	Trigger Event	Retention Policy	Disposal Method
Property Leases and Agreements	Contracts and agreements	End of Contract / Relationship / Programme	Retain until expiry of lease + 15 years	Destroy/Delete
Property Leasing-out		End of Contract / Relationship / Programme	Retain until expiry of lease + 12 years	Destroy/Delete

CHERP

Record Description	Category	Trigger Event	Retention Policy	Disposal Method
CHERP Attendance records		Academic Year End	Retain for current academic year + 5 years	Destroy/Delete
CHERP Awards applications		Academic Year End	Retain for current academic year + 3 years	Destroy/Delete
CHERP feedback forms/event booklets		Academic Year End	Retain for current academic year + 5 years	Destroy/Delete
CHERP Finance documents (invoices, receipts, claim forms etc.)	Finance Related	Financial Year End	Retain for current financial year + 6 years	Destroy/Delete
CHERP Membership applications		Academic Year End	Retain for current academic year + 5 years	Destroy/Delete
Records documenting UKPSF Fellowship applications, decision making documents/panel sheets/recordings/feedback etc for HEA QA purposes		Academic Year End	Retain for current academic year + 3 years	Destroy/Delete

Development and Alumni Relations Office

Record Description	Category	Trigger Event	Retention Policy	Disposal Method
Alumni information	Alumni Related	End of Contract / Relationship / Programme	Retain for duration of relationship	Destroy/Delete
American Friends of Ulster University Inc. information	Associated Body	End of Contract / Relationship / Programme	Retain until termination of grant + 6 years	Destroy/Delete
Application forms – scholarships and awards	Student Related	Start of Contract / Award	Retain from date of award + 2 years	Destroy/Delete
Application forms - telephone fundraising campaigns	Student Related	End of Contract / Relationship / Programme	Retain for duration of campaign + 2 years	Destroy/Delete
Directors of UU Foundation information	External Stakeholders	End of Contract / Relationship / Programme	Retain until termination of appointment + 6 years	Destroy/Delete

Donor information	Donor/Sponsor Related	End of Contract / Relationship / Programme	Retain for duration of relationship	Destroy/Delete
Sponsor information	Donor/Sponsor Related	End of Contract / Relationship / Programme	Retain for duration of relationship	Destroy/Delete

Digital and Information Services Directorate

Record Description	Category	Trigger Event	Retention Policy	Disposal Method
Accident reports	Library Records	Action Completion	Retain until last action on accident +1 year	Destroy/Delete
Bids for external funding	Library Finance Records	End of Contract / Relationship / Programme	Retain from termination of contract + 6 years	Destroy/Delete
Bids for internal funding	Library Finance Records	Financial Year End	Retain for current financial year + 6 years	Destroy/Delete
Business Continuity Plan	Operations & Procedures	Record superseded	Retain until superseded + 1 year	Destroy/Delete
Business Impact Analysis	Operations & Procedures	Record superseded	Retain until superseded + 1 year	Destroy/Delete
Comments and suggestions	Library Records	Action Completion	Retain for 3 years	Destroy/Delete
Committee papers	Meeting Papers	End of Group / Committee	Retain for life of committee + 5 years	Destroy/Delete
Copyright Policy	Operations & Procedures	Record superseded	Retain until superseded + 3 years	Destroy/Delete
DAR	Staff Related	End of Contract / Relationship / Programme	Retain for duration of employment +1 year	Destroy/Delete
Digitised materials within Special Collections	Library Records		Retain permanently	Move to Archive
Disaster Recovery Plan	Operations & Procedures	Record superseded	Retain until superseded + 1 year	Destroy/Delete
Disposal Records (AV/IT)	Library Records	Action Completion	Retain from date of collection +1 year	Destroy/Delete
Economic Appraisals	Library Finance Records	End of Contract / Relationship / Programme	Retain from termination of supply contract awarded + 6 years	Destroy/Delete
Exam papers	Library Records	Academic Year End	Retain for current academic year + 5 years	Consult with dept lead before disposal
Financial planning and forecasts	Library Finance Records	Financial Year End	Retain for current financial year + 5 years	Destroy/Delete

Financial records: receipts, claims	Library Finance Records	Financial Year End	Retain for current financial year + 6 years	Destroy/Delete
Fixed Asset Register data	Library Records	Action Completion	Retain until asset is recorded as disposed of/obsolete	Destroy/Delete
FOI responses and backup data	Library Records	Action Completion	Retain from completion of preparation of response + 3 years	Destroy/Delete
Health and Safety policy	Operations & Procedures	Record superseded	Retain until superseded + 10 years	Destroy/Delete
Health and Safety risk assessments	Operations & Procedures	Record superseded	Retain until superseded + 10 years	Destroy/Delete
Internal & External Audits	Operations & Procedures	Action Completion	Retain until completion of the audit + 5 years	Destroy/Delete
Library Asset Inventory	Library Records	Action Completion	Retain until asset is recorded as as disposed of/obsolete	Destroy/Delete
Library Authored Web Content	Library Records		Retain in line with the Library Web Content Policy	Destroy/Delete
Library membership requests	Library Records	Action Completion	Retain until processed	Destroy/Delete
Library Risk Register	Operations & Procedures	Record superseded	Retain until superseded + 3 years	Destroy/Delete
Library Services Strategy and records that informed strategy development	Library Records	Record superseded	Retain until superseded + 10 years	Destroy/Delete
Licences and Contracts	Library Records	Record superseded	Retain until superseded/expired + 12 years. Retain permanently where there are post-contract clauses and rights.	Consult with contract lead before deleting
LMS bibliographic and request records	Library Records		Retain permanently	Move to Archive
LMS Borrower records	Library Records	Financial Year End	Retain for current financial year + 6 years, then anonymised	Anonymise and retained digitally
LMS documentation	Library Records	Record superseded	Retain until superseded	Destroy/Delete
Major projects	Library Records	End of Contract / Relationship / Programme	Retain for duration of project + 5 years	Destroy/Delete

Master copies of procedures relating to the management of ICT systems.	Operations & Procedures	Record superseded	Retain until superseded + 3 years	Destroy/Delete
Minutes of meetings (CLM, Subs, LUSG)	Meeting Papers	Record Creation	Retain for 10 years	Destroy/Delete
Performance measurement records	Library Records	Record superseded	Retain until superseded + 10 years	Destroy/Delete
Policies and Procedures	Operations & Procedures	Record superseded	Retain until superseded + 10 years	Destroy/Delete
Purchase order records	Library Records	Financial Year End	Retain for current financial year + 6 years	Destroy/Delete
Reading list content	Library Records	Academic Year End	Retain for current academic year + 3 years	Destroy/Delete
Reading list documentation	Library Records	Action Completion	Retain until processed	Destroy/Delete
Records documenting attempted or actual security breaches of the institution's ICT systems, and action taken.		Academic Year End	Retain from last action on incident + 1 year	Destroy/Delete
Records documenting faults reported by users of ICT systems, and action taken to investigate and resolve the problem.	Reports	Academic Year End	Retain from last action on fault + 1 year	Destroy/Delete
Records documenting routine monitoring of the use of ICT systems to ensure compliance with legal requirements and institutional policies.		Calendar Year End	Retain from current calendar year + 1 year	Destroy/Delete
Records documenting the development and establishment of the institution's ICT systems strategy and policies: key records.		Record superseded	Retain until superseded + 5 years	Destroy/Delete
Records documenting the development and establishment of the	Operations & Procedures	Record Creation	Retain from issue of strategy, policy or procedure + 1 year	Destroy/Delete

institution's ICT systems strategy, policies and procedures: working papers.				
Records documenting the initial development and post-implementation modification and maintenance of ICT systems.		Action Completion	Retain from decommissioning of system + 5 years	Destroy/Delete
Records documenting the initial development of ICT systems which are not implemented.		Action Completion	Retain from last action on development + 5 years	Destroy/Delete
Records documenting the maintenance of appropriate software licences for live ICT systems.		Start of Contract / Award	Retain from issue of new licence	Destroy/Delete
Records documenting the management of ICT systems development projects (i.e. project management records).		End of Contract / Relationship / Programme	Retain from termination of project + 5 years	Destroy/Delete
Records documenting the management of system data storage, including the operation of routine data backup, archiving and deletion routines.		Calendar Year End	Retain from current calendar year + 1 year	Destroy/Delete
Records documenting the opening, maintenance, and closure of user accounts for ICT systems.		End of Contract / Relationship / Programme	Retain from closure of account + 1 year	Destroy/Delete
Records documenting the removal/return of mobile ICT systems hardware and software from/to the institution's premises.		Action Completion	Retain from return of equipment + 3 months	Destroy/Delete
Records documenting the routine monitoring and testing of the operation of ICT systems, and action taken to		Calendar Year End	Retain from current calendar year + 1 year	Destroy/Delete

rectify problems and optimise performance.				
Records documenting the security arrangements for ICT systems.		Action Completion	Retain from decommissioning of system + 5 years	Destroy/Delete
Records documenting user requests to recover data from backup or archive stores, and action taken.		Action Completion	Retain from last action on request + 3 months	Destroy/Delete
Records of expenditure of research grants	Library Finance Records	Financial Year End	Retain for current financial year + 6 years or as required by funder	Consult with dept lead before disposal
Requests for, and authorisation of, connections of third-party equipment to the institution's networks, either on institutional premises or via dial-up communications links.		End of Contract / Relationship / Programme	Retain from termination of connection + 1 year	Destroy/Delete
Service Level Agreements	Contracts and agreements	End of Contract / Relationship / Programme	Retain for duration of contract +1 year	Destroy/Delete
Staff training records	Staff Related	Action Completion	Retain for 4 years	Destroy/Delete
Student Support referrals	Student Related	Academic Year End	Retain until completion of student's module or programme + 1 year	Destroy/Delete
Successful Tenders	Library Finance Records	End of Contract / Relationship / Programme	Retain from termination of contract + 6 years	Destroy/Delete
Unsuccessful Tenders	Library Finance Records	Start of Contract / Award	Retain from award of supply contract + 1 year	Destroy/Delete
Usage data	Library Records	Calendar Year End	Retain for current calendar year + 10 years	Destroy/Delete
User Enquiry documentation	Library Records	Academic Year End	Retain for current academic year + 1 year	Destroy/Delete
User services enquiries from students	Student Related	Academic Year End	Retain for student duration + 1 year	Destroy/Delete
User surveys	Library Records	Action Completion	Retain until completion of the survey, retain anonymised full data set	Destroy/Delete

			(responses) + 10 years (reports)	
Working group/functional group papers	Meeting Papers	End of Group / Committee	Retain for life of group + 5 years	Destroy/Delete

Employability and Careers

Record Description	Category	Trigger Event	Retention Policy	Disposal Method
Student placement records	Student Related	End of Course / Prog / Module	Retain until completion of student's module or programme + 4 years	Destroy/Delete

Estates Services Directorate

Record Description	Category	Trigger Event	Retention Policy	Disposal Method
Energy Management Reviews/Monitoring/Audit	Operations & Procedures	Action Completion	Retain until completion of review + 5 years	Destroy/Delete
Environmental Management Scheme Accreditation Management	Operations & Procedures	End of Contract / Relationship / Programme	Retain until termination of accreditation + 1 year	Destroy/Delete
Environmental Strategy Development: Key Records	Operations & Procedures	Record superseded	Retain until superseded + 10 years	Destroy/Delete
Environmental Strategy Development: Working Papers	Operations & Procedures	Record Creation	Retain from issue of strategy + 1 year	Destroy/Delete
Estate Management Procedures	Operations & Procedures	Record Creation	Retain from issue of procedures + 1 year	Destroy/Delete
Estate Strategy Development: Key Records	Operations & Procedures	Record superseded	Retain until superseded + 10 years	Destroy/Delete
Estate Strategy Development: Working Papers	Operations & Procedures	Record Creation	Retain from issue of strategy + 1 year	Destroy/Delete
Estates Maintenance Works: Major (Capital Projects)	Operations & Procedures	Action Completion	Retain until completion of works + 12 years	Destroy/Delete
Estates Maintenance Works: Minor	Operations & Procedures	Financial Year End	Retain until current year + 6 years	Destroy/Delete

Facilities Inspections	Operations & Procedures	Action Completion	Retain until completion of two subsequent inspections	Destroy/Delete
Facilities Licences and Certificates	Operations & Procedures	Record superseded	Retain until superseded	Destroy/Delete
Facilities Management Procedure Development: Master Copies. Tender Contract	Operations & Procedures	Record superseded	Retain until superseded + 6 years	Destroy/Delete
Incident Reporting	Reports	Action Completion	Retain until last action on incident + 1 year	Destroy/Delete
Key Registers and Access Registers	Operations & Procedures	Record Creation	Retain from creation + 2 months	Destroy/Delete
Planning Applications	Operations & Procedures	End of Contract / Relationship / Programme	Retain until disposal of property or expiry of consent	Destroy/Delete
Property Acquisition	Operations & Procedures	End of Contract / Relationship / Programme	Retain until disposal of property + 12 years	Destroy/Delete
Property Disposal	Operations & Procedures	End of Contract / Relationship / Programme	Retain until disposal of property + 12 years	Destroy/Delete
Property Inspections	Operations & Procedures	Action Completion	Retain from date of inspection + 5 years	Destroy/Delete
Property Maintenance: Major Works	Operations & Procedures	End of Contract / Relationship / Programme	Retain until disposal of property	Destroy/Delete
Property Maintenance: Minor Works	Operations & Procedures	Action Completion	Retain until completion of works + 12 years	Destroy/Delete
Security Inspections	Operations & Procedures	Action Completion	Retain until completion of subsequent inspection	Destroy/Delete
Security Surveillance Records	Operations & Procedures	Action Completion	Retain from creation + 1 month	Destroy/Delete
Space Audits	Operations & Procedures	Action Completion	Retain until completion of subsequent audit + 5 years	Destroy/Delete
Staff and Student Security Passes	Operations & Procedures		Retain until expiry of pass	Destroy/Delete
Sustainability Awareness Promotion	Operations & Procedures	Action Completion	Retain current + 5 years	Destroy/Delete
Sustainability Policy/Procedure Development: Key Records	Operations & Procedures	Record superseded	Retain until superseded + 10 years	Destroy/Delete
Sustainability Policy/Procedure	Operations & Procedures	Record Creation	Retain from issue of policy + 1 year	Destroy/Delete

Development: Working Papers				
Unsuccessful Property Negotiations	Operations & Procedures	Action Completion	Retain until closure of negotiations + 6 years	Destroy/Delete
Visitor Security Passes	Operations & Procedures		Retain until expiry of pass + 1 month	Destroy/Delete
Waste Management ("Hazardous Waste")	Operations & Procedures	Action Completion	Retain until removal of waste + 3 years	Destroy/Delete
Waste Management (General Waste)	Operations & Procedures	Action Completion	Retain until removal of waste consignment + 3 years	Destroy/Delete

Faculty Records

Record Description	Category	Trigger Event	Retention Policy	Disposal Method
Committee papers	Meeting Papers	End of Group / Committee	Retain for life of committee + 5 years	Destroy/Delete
Committee Election papers	Operations & Procedures	End of Contract / Relationship / Programme	Retain until termination of appointment + 1 year	Destroy/Delete
External Examiner Liaison	Examiner Related	Academic Year End	Retain for termination of appointment + 1 year	Destroy/Delete
Student Access NI documents	Student Related	Academic Year End	Retain until completion of student's module or programme + 6 years	Destroy/Delete
Student records	Student Related	Academic Year End	Retain until completion of student's module or programme + 6 years	Destroy/Delete
Student Attendance Records	Student Related	Academic Year End	Retain for current academic year + 1 year	Destroy/Delete
Completed Exam Scripts	Student Related	Exam completion	Retain until completion of exam + 6 months	Destroy/Delete
Nursing Placement Reports	Student Related	Academic Year End	Retain until completion of student's module or programme + 1 year	Destroy/Delete
Patient files (Optometry clinic Coleraine / Podiatry clinic Jordanstown)	Patient Related	Academic Year End	Retain for academic year + 10 years if patient is ≥ 16 years; Retain for academic	Destroy/Delete

			year + 25 years if patient < 16 years	
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Finance Directorate

Record Description	Category	Trigger Event	Retention Policy	Disposal Method
Companies House Information	Reports	End of Contract / Relationship / Programme	Retain for life of company + 10 years	Destroy/Delete
Contract under hand	Procurement contract	End of Contract / Relationship / Programme	End of contract + 6 years	Destroy/Delete
Contract under seal (deed)	Procurement contract	End of Contract / Relationship / Programme	End of contract + 12 years	Destroy/Delete
Corporate Business Continuity Plan	Operations & Procedures	Record superseded	Retain until superseded + 1 year	Destroy/Delete
Economic Appraisals	Finance Related	End of Contract / Relationship / Programme	Retain from termination of supply contract awarded + 6 years	Destroy/Delete
Employee expense records	Finance Related	Financial Year End	Retain for current financial year + 6 years	Destroy/Delete
Employer pension contribution records	Finance Related	End of Contract / Relationship / Programme	Retain from termination of employment + 13 years	Destroy/Delete
Faculty Risk Register	Operations & Procedures	Record superseded	Retain until superseded + 3 years	Destroy/Delete
Financial Analysis/Subsidies	Finance Related	Financial Year End	Retain for current financial year + 1 year	Destroy/Delete
Financial planning and forecasts	Finance Related	Financial Year End	Retain for current financial year + 5 years	Destroy/Delete
Financial Statement records	Finance Related	Financial Year End	Retain for current year + 6 years	Destroy/Delete
Internal and external audit reports	Reports	Action Completion	Retain from completion of audit + 5 years	Destroy/Delete
Management Accounts	Finance Related	Financial Year End	Retain for current financial year + 1 year	Destroy/Delete
Payroll records	Finance Related	Financial Year End	Retain for current tax year + 3 years	Destroy/Delete
Pension Records	Finance Related	End of Contract / Relationship / Programme	Retain for duration of employment + 6 years	Destroy/Delete

Purchase Ledger records	Finance Related	Financial Year End	Retain for current financial year + 6 years	Destroy/Delete
Purchase orders	Finance Related	Financial Year End	Retain for current financial year + 6 years	Destroy/Delete
Sales Ledger records	Finance Related	Financial Year End	Retain for current financial year + 6 years	Destroy/Delete
Successful tenders	Finance Related	End of Contract / Relationship / Programme	Retain from termination of contract + 6 years	Destroy/Delete
Unsuccessful tenders	Finance Related	Start of Contract / Award	Retain from award of supply contract + 1 year	Destroy/Delete
VAT return records	Finance Related	Financial Year End	Retain for current financial year + 6 years	Destroy/Delete

Financial Records Retained Outside of Finance

Record Description	Category	Trigger Event	Retention Policy	Disposal Method
Staff Tuition Fee Exemption Form	Finance Related	Action Completion	Minimum: Retain copy until processed Maximum: Retain for duration of programme	Destroy/Delete
Student Wages Claim Form	Finance Related	Action Completion	Minimum: Retain copy until payment processed (should not include bank details) Maximum: Retain copy up to 2 years for operational use (should not include bank details)	Destroy/Delete
Demonstrator / Tutorial Postgraduate Fees Claim Form	Finance Related	Action Completion	Minimum: Retain copy until payment processed (should not include bank details) Maximum: Retain copy up to 2 years for operational use (should not include bank details) Exception: Applicable to Research and Impact only: Finance department will release	Destroy/Delete

			original documentation to Research and Impact once the financial retention of current plus 6 years has been fulfilled. The original documentation should be retained for a further 6 years, by Research and Impact, to fulfil Research Funder's retention requirements.	
Credit Card Refund & Receipt	Finance Related	Financial Year End	Retain original receipts and backup paperwork for current financial year + 6 years	Destroy/Delete
Winter Graduation Fee & Receipt	Finance Related	Financial Year End	Retain original receipts and backup paperwork for current financial year + 6 years	Destroy/Delete
Cognos Access Form	Finance Related	Action Completion	Retain copy until access has been setup	Destroy/Delete
Cost Centre Request Form	Finance Related	Action Completion	Retain copy until setup complete	Destroy/Delete
Journal Template	Finance Related	Action Completion	Retain copy until setup complete	Destroy/Delete
Student Indemnity	Finance Related	Financial Year End	Retain for 3 years after the date that the student placement finishes	Destroy/Delete
Memo for Student Awards	Finance Related	Action Completion	Retain copy until payment processed	Destroy/Delete
Re issue of id card cash transaction log (Kalamazoo)	Finance Related	Financial Year End	Retain original receipts and backup paperwork for current financial year + 6 years	Destroy/Delete
Credit card Lodgement Summary's with Receipts	Finance Related	Financial Year End	Retain original receipts and backup paperwork for current financial year + 6 years	Destroy/Delete

Cash/Cheque Lodgement Summary's with original receipts	Finance Related	Financial Year End	Retain original receipts and backup paperwork for current financial year + 6 years	Destroy/Delete
BACs Form	Finance Related	Action Completion	Do not retain copy	Destroy/Delete
Cashier Summary Sheet & EPOS Receipts	Finance Related	Financial Year End	Retain original receipts and backup paperwork for current financial year + 6 years	Destroy/Delete
Cash/Cheque Customer Booking Lodgement Summary's with original receipts	Finance Related	Financial Year End	Retain original receipts and backup paperwork for current financial year + 6 years	Destroy/Delete
Online Customer Bookings Lodgement Summary's	Finance Related	Financial Year End	Retain original receipts and backup paperwork for current financial year + 6 years	Destroy/Delete
Petty Cash Float Transaction Log	Finance Related	Financial Year End	Retain backup paperwork for current financial year + 6 years	Destroy/Delete
Petty Cash Float Summary	Finance Related	Financial Year End	Retain backup paperwork for current financial year + 6 years	Destroy/Delete
Petty Cash Book	Finance Related	Financial Year End	Retain backup paperwork for current financial year + 6 years	Destroy/Delete
Petty Cash Reimbursement Form	Finance Related	Financial Year End	Retain backup paperwork for current financial year + 6 years	Destroy/Delete
Fixed Assets Register	Finance Related	Action Completion	Retain copy in Fixed Asset Register Book until equipment is disposed of	Return book to Ledger & Controls
Bank Statements	Research & Impact Claims	Project End Date	Retain for 6 years after project end date	Destroy/Delete
Sales Invoice Requisition form	Finance Related	Financial Year End	Retain copy 6 years +1	Destroy/Delete
Credit Note Requisition book	Finance Related	Financial Year End	Retain copy 6 years +1	Destroy/Delete
Budget Statements	Finance Related		At the discretion of users	Destroy/Delete

E5 Transaction Lists	Finance Related		Do not retain copy	Destroy/Delete
Private Landlord Invoices	Finance Related	Financial Year End	Retain for current financial year + 6 years	Destroy/Delete
Lost Money Slip	Finance Related	Financial Year End	Retain receipts and backup paperwork for current financial year + 6 years	Destroy/Delete
External Grant Proposal Form	Research Project Related		Do not retain copy	
Supplier Balance Statements	Finance Related	Financial Year End	Retain up to 1 year for operational purposes	Destroy/Delete
Devolved Procurement Forms	Finance Related	Action Completion	Must be attached to e5 order Do not retain copy	Destroy/Delete
Purchase Requisition form/duplicate book	Finance Related	Action Completion	Do not retain paper - Official requisition must be uploaded and held within e5	Destroy/Delete
Purchase Card Application Form	Finance Related	Action Completion	Retain copy for duration of Purchase Card responsibility	Destroy/Delete
Purchase Card Employment Agreement Form	Finance Related	Action Completion	Retain copy for duration of Purchase Card responsibility	Destroy/Delete
Purchase Card Change Request	Finance Related	Action Completion	Retain until amendment complete	Destroy/Delete
Purchase Card Transaction Log	Finance Related	Financial Year End	Minimum: Retain for current financial year + 6 years	Destroy/Delete
Purchase Card Orders/Invoices/Receipts	Finance Related	Action Completion / Financial Year End	Minimum: Retain original for current financial year plus 6 years and must be available in paper format Maximum: If purchase is for a research project, retain for current financial year + 6 years after project end date	Destroy/Delete
Purchase Card Purchase Request Authorisation	Finance Related	Action Completion / Financial Year End	Retain original for current financial year + 6 years	Destroy/Delete
Purchase Card Statement	Finance Related	Financial Year End	Do not retain copy of statement if all approvals have taken place on the Barclaycard Management	Destroy/Delete

			System. If approval has not taken place on Barclaycard Management System. The purchase card statement must be printed out and signed by approver. This paper approval must be retained for current year plus 6 years.	
Sundry Supplier	Finance Related	Action Completion	Retain digital file until setup complete	Destroy/Delete
New Supplier	Finance Related	Action Completion	Retain digital file until setup complete	Destroy/Delete
Direct Award Contract Form (formerly Single Tender Action (STA) Justification)	Finance Related	Action Completion	Do not retain copy. Must be attached to the e5 order Note: Form must be signed by requester and approver and attached to the e5 order (if over £30k must have approval from Procurement to be processed before attaching to order).	Destroy/Delete
Tax Form - Starter Declaration	Finance Related		Do not retain copy	
Monthly Overtime Claim	Finance Related	Action Completion / Financial Year End	Minimum: Retain copy until payment processed Maximum: Retain copy up to 2 years for operational use	Destroy/Delete
External Examiners Claim	Finance Related	Action Completion / Financial Year End	Minimum: Retain copy until payment processed (should not include bank details) Maximum: Retain copy up to 2 years for operational use (should not include bank details)	Destroy/Delete

			<p>Exception: Applicable to Research and Impact only: Finance department will release original documentation to Research and Impact once the financial retention of current plus 6 years has been fulfilled. The original documentation should be retained for a further 6 years, by Research and Impact, to fulfil Research Funder's retention requirements.</p>	
Subsidiary Payroll Claim	Finance Related	Action Completion / Financial Year End	<p>Minimum: Retain copy until payment processed (should not include bank details) Maximum: Retain copy up to 2 years for operational use (should not include bank details)</p> <p>Exception: Applicable to Research and Impact only: Finance department will release original documentation to Research and Impact once the financial retention of current plus 6 years has been fulfilled. The original documentation should be retained for a further 6 years, by Research and Impact, to fulfil Research Funder's retention requirements.</p>	Destroy/Delete
Subsidiary Payroll Claim Passport copy	Finance Related		Do not retain copy	

Visiting Lecturer Claim	Finance Related	Action Completion / Financial Year End	<p>Minimum: Retain copy until payment processed (should not include bank details) Maximum: Retain copy up to 2 years for operational use (should not include bank details)</p> <p>Exception: Applicable to Research and Impact only: Finance department will release original documentation to Research and Impact once the financial retention of current plus 6 years has been fulfilled. The original documentation should be retained for a further 6 years, by Research and Impact, to fulfil Research Funder's retention requirements.</p>	Destroy/Delete
Visiting Professor Claim	Finance Related	Action Completion / Financial Year End	<p>Minimum: Retain copy until payment processed (should not include bank details) Maximum: Retain copy up to 2 years for operational use (should not include bank details)</p> <p>Exception: Applicable to Research and Impact only: Finance department will release original documentation to Research and Impact once the financial retention of current plus 6 years has been fulfilled. The original</p>	Destroy/Delete

			documentation should be retained for a further 6 years, by Research and Impact, to fulfil Research Funder's retention requirements.	
Part Time Teacher (P&C Responsible)	Finance Related	Action Completion / Financial Year End	<p>Minimum: Retain copy until processed (should not include copies of passport, a marriage certificate, a divorce degree, a deed poll or statutory declaration)</p> <p>Maximum: Retain copy up to 2 years for operational use (should not include copies of passport, a marriage certificate, a divorce degree, a deed poll or statutory declaration)</p> <p>Exception: Applicable to Research and Impact only: Finance department will release original documentation to Research and Impact once the financial retention of current plus 6 years has been fulfilled. The original documentation should be retained for a further 6 years, by Research and Impact, to fulfil Research Funder's retention requirements.</p>	Destroy/Delete
Petty Cash Voucher & Receipts	Finance Related	Financial Year End	<p>If under £35 Claimant should not retain copies of petty cash vouchers.</p> <p>Departments with floats</p>	Destroy/Delete

			<p>should retain a copy of the summary cover sheet detailing the petty cash float transactions until they receive the monetary reimbursement for the float.</p> <p>If over £35 Claimant should retain copy of Petty Cash Voucher until monetary reimbursement has been transferred into claimant's bank account.</p> <p>Exception: Applicable to Research and Impact only: Finance department will release original documentation to Research and Impact once the financial retention of current plus 6 years has been fulfilled. The original documentation should be retained for a further 6 years, by Research and Impact, to fulfil Research Funder's retention requirements.</p>	
Supplementary Expenses & Receipts	Finance Related	Action Completion / Financial Year End	<p>Minimum: Retain copy until payment processed (applicable to those who send the original form & receipt to Finance)</p> <p>Maximum: Retain original for current financial year + 6 years (applicable to those who do not send the original form & receipt to Finance)</p>	Destroy/Delete

			<p>Exception: Applicable to Research and Impact only: Finance department will release original documentation to Research and Impact once the financial retention of current plus 6 years has been fulfilled. The original documentation should be retained for a further 6 years, by Research and Impact, to fulfil Research Funder's retention requirements.</p>	
Travel, Expenses and Subsistence Claim (Staff)	Finance Related	Action Completion / Financial Year End	<p>Minimum: Retain copy until payment processed Maximum: Retain copy up to 2 years for operational use</p> <p>Exception: Applicable to Research and Impact only: Finance department will release original documentation to Research and Impact once the financial retention of current plus 6 years has been fulfilled. The original documentation should be retained for a further 6 years, by Research and Impact, to fulfil Research Funder's retention requirements.</p>	Destroy/Delete
Travel, Expenses and Subsistence (Council Members)	Finance Related	Action Completion / Financial Year End	<p>Minimum: Retain a copy until payment processed Maximum: Retain copy up to 2 years for operational</p>	Destroy/Delete

			<p>use</p> <p>Exception: Applicable to Research and Impact only: Finance department will release original documentation to Research and Impact once the financial retention of current plus 6 years has been fulfilled. The original documentation should be retained for a further 6 years, by Research and Impact, to fulfil Research Funder's retention requirements.</p>	
Field Trip / Vacation Course Budget Approval	Finance Related	Action Completion / Financial Year End	<p>Minimum: Retain a copy until payment processed Maximum: Retain copy up to 2 years for operational use</p>	Destroy/Delete
Entertainment Expenditure Claim	Finance Related	Action Completion / Financial Year End	<p>Minimum: Retain copy until payment processed Maximum: Retain copy up to 2 years for operational use</p> <p>Exception: Applicable to Research and Impact only: Finance department will release original documentation to Research and Impact once the financial retention of current plus 6 years has been fulfilled. The original documentation should be retained for a further 6 years, by Research and</p>	Destroy/Delete

			Impact, to fulfil Research Funder's retention requirements.	
Prior Approval (Staff)	Finance Related	Financial Year End	Do not retain copy	
Prior Approval (Students)	Finance Related	Action Completion / Financial Year End	Minimum: Retain copy until payment processed Maximum: Retain copy up to 2 years for operational use	Destroy/Delete
Base Transfer Mileage Claim	Finance Related	Action Completion / Financial Year End	Minimum: Retain copy until payment processed Maximum: Retain copy up to 2 years for operational use	Destroy/Delete
Placement Student Expenses	Finance Related	Action Completion / Financial Year End	Minimum: Retain copy until payment processed Maximum: Retain copy up to 2 years for operational use	Destroy/Delete
e5 Purchase supporting information	Finance Related	Action Completion / Financial Year End	Do not retain. Policy states that supporting documentation must be attached to e5	Destroy/Delete
Purchase card supporting information	Finance Related	Action Completion / Financial Year End	Minimum: Retain current plus 6 years Maximum: If purchase is for a research project then retain for 6 years after project end date	Destroy/Delete

Global Engagement

Record Description	Category	Trigger Event	Retention Policy	Disposal Method
Agreements with partner institutions	Contracts and agreements	End of Contract / Relationship / Programme	Retain until termination of contract + 12 years	Destroy/Delete

Committee papers	Meeting Papers	End of Group / Committee	Retain for life of committee + 5 years	Destroy/Delete
Documentation relating to International Student Mobility	Student Related	End of Contract / Relationship / Programme	Retain for duration of funding project + 6 years	Destroy/Delete
International business policies, procedures and practices	Operations & Procedures	Record superseded	Retain until superseded + 5 years	Destroy/Delete
Risk registers	Operations & Procedures	Record superseded	Retain until superseded + 1 year	Destroy/Delete
Tier 4 student file	Student Related	End of Contract / Relationship / Programme	End of Tier 4 sponsorship period + 1 year	Destroy/Delete
US FSA administrative files	Operations & Procedures	Academic Year End	Retain for current academic year + 5 years	Destroy/Delete
US FSA compliance audits	Operations & Procedures	Academic Year End	Retain for current academic year + 5 years	Destroy/Delete
US FSA policies and procedures	Operations & Procedures	Record superseded	Retain until superseded + 5 years	Destroy/Delete
US FSA student files	Student Related	Academic Year End	Retain for current academic year + 6 years.	Destroy/Delete
Strategy/Project Documentation	Projects	End of Project	Retain for duration of project + 10 years	Destroy/Delete
International CRM Records		Action Completion	Retain until completion of admissions cycle + 3 year	Destroy/Delete
International GECKO Records		Action Completion	Retain until completion of admissions cycle + 3 year	Destroy/Delete
Process Mapping	Projects	End of Project	Retain for duration of project & 10 years	Destroy/Delete
Student Ambassador Records	Student Related	Academic Year End	Retain for current academic year + 1 year	Destroy/Delete
Overseas English Language Testing Files	Student Related	Academic Year End	Retain until completion of Student's module or programme + 6 years	Destroy/Delete
Survey data	Survey	Record superseded	Retain until superseded or 1 year	Destroy/Delete
Agent agreements	Agents	End of Contract/Relationship	Retain from termination of contract + 1 year	Destroy/Delete

Office of the University Secretary

Record Description	Category	Trigger Event	Retention Policy	Disposal Method
Annual University Review	Reports	Academic Year End	Retain for current academic year + 10 years	Destroy/Delete
Committee papers	Meeting Papers	End of Group / Committee	Retain for life of committee + 5 years	Destroy/Delete
Development papers for information compliance – key records	Information compliance	Record superseded	Retain until superseded + 5 years	Destroy/Delete
Development papers for information compliance – working papers	Information compliance	Record Creation	Retain from issue of strategy, policy or procedure + 1 year	Destroy/Delete
Documents for FOI publication scheme	Information compliance	Record superseded	Retain from completion of revision of Publication Scheme + 5 years	Destroy/Delete
DPA statistics, analysis and reports	Reports	Calendar Year End	Retain for current calendar year + 10 years	Destroy/Delete
DPA Subject Access Requests	Information compliance	Action Completion	Retain from last action on request + 1 year	Destroy/Delete
External representation	Reports	Record superseded	Retain until superseded + 5 years	Destroy/Delete
FOI requests	Information compliance	Action Completion	Retain from completion of request handling process + 3 years	Destroy/Delete
FOI statistics, analysis, and reports	Reports	Calendar Year End	Retain from the current calendar year + 10 years	Destroy/Delete
Honorary graduate information	Awards & Prizes	Start of Contract / Award	Retain from conferment of award + 1 year	Destroy/Delete
ICO notification of data controller	Information compliance	Calendar Year End	Retain from current calendar year + 1 year	Destroy/Delete
Information compliance procedures	Operations & Procedures	Record superseded	Retain until superseded + 3 years	Destroy/Delete
Legal advice requested by and provided to the institution concerning: interpretation of legislation affecting the institution's legal framework, governance, responsibilities,	Legal Records	Record Creation	Retain for life of University	Move to Archive

or operations; proposals for new legislation affecting the institution's legal framework, governance, responsibilities or operations; the institution's relationships with government bodies and HE regulators; and industrial relations issues				
Legislative records	Legal Records	Record Creation	Retain for life of University	Move to Archive
Records documenting the negotiation, establishment and review of contracts and agreements between the institution and third parties: other contracts and agreements	Contracts and agreements	End of Contract / Relationship / Programme	Retain until termination of contract + 6 years	Destroy/Delete
Records documenting the negotiation, establishment and review of contracts and agreements between the institution and third parties: agreements and contracts under seal (by deed)	Contracts and agreements	End of Contract / Relationship / Programme	Retain until termination of contract + 12 years	Destroy/Delete
Policies and Procedures	Operations & Procedures	Record superseded	Retain until superseded + 5 years	Destroy/Delete
Procession lists		Record Creation	Retain from completion of ceremony + 1 year	Destroy/Delete
University Charter, Statutes and Ordinances		Record Creation	Retain for life of University	Move to Archive
University Corporate Plan		Record superseded	Retain until superseded + 10 years	Destroy/Delete
Visitor papers		Record Creation	Retain until closure of case + 6 years	Destroy/Delete
Records documenting the provision of legal support and representation for the institution in dealing with claims by or against the	Legal Records	Settlement / Withdrawal of claim	Retain until settlement or withdrawal of claim + 6 years	Destroy/Delete

institution which do not proceed to litigation or settlement by an agreement				
Records documenting litigation between the institution and third parties where legal precedents are set	Legal Records	Record creation	Retain for life of University	Move to Archive
Records documenting litigation between the institution and third parties which does not set legal precedents	Legal Records	Settlement of case	Retain from settlement of case + 6 years	Destroy/Delete
Legal advice on other matters requested by and provided to the institution	Legal Records	Record superseded	Retain until superseded + 5 years	Destroy/Delete

People and Culture Directorate

Record Description	Category	Trigger Event	Retention Policy	Disposal Method
Asbestos Inspections		Action Completion	Retain from review of assessment + 10 years	Destroy/Delete
Asbestos Removal		Action Completion	Retain from removal of asbestos + 10 years OR Subsequent inspection + 10 years	Destroy/Delete
5-year Review of Disability Action Plan	Equality Reports	Record superseded	Retain until superseded + 10 years	Destroy/Delete
5-year Review of the Equality Scheme	Equality Reports	Record superseded	Retain until superseded + 10 years	Destroy/Delete
Access to Work Personnel Files	Staff Related	End of Contract / Relationship / Programme	Retain for duration of employment + 3 years	Destroy/Delete
Article 55 Review	Equality Reports	Action Completion	Retain from submission of report + 3 years	Destroy/Delete
Assembly questions		Action Completion	Retain from last action on request + 5 years	Destroy/Delete
Bullying and Harassment Investigations	Operations & Procedures	Action Completion	Retain from outcome date + 6 years	Destroy/Delete

Committee papers	Meeting Papers	End of Group / Committee	Retain for life of committee + 5 years	Destroy/Delete
Complaints	Reports	Action Completion	Retain from last action on case + 6 years	Destroy/Delete
DAR	Staff Related	End of Contract / Relationship / Programme	Retain for duration of employment + 1 year	Destroy/Delete
Disability Action Plans	Reports	Record superseded	Retain until superseded + 5 years	Destroy/Delete
Disciplinary Action	Operations & Procedures	Action Completion	Retain from date of action + 6 years	Destroy/Delete
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)	Staff Related	End of Contract / Relationship / Programme	Retain for duration of employment + 6 years	Destroy/Delete
EO monitoring information	Equality Reports	Calendar Year End	Direct method monitoring – Retain current calendar year + 5 years Residuary method monitoring – Retain for duration of employment + 3 years	Destroy/Delete
Equal Pay Review	Reports	Record superseded	Retain until superseded + 10 years	Destroy/Delete
Exit questionnaires	Reports	End of Contract / Relationship / Programme	Retain from termination of employment + 6 years	Destroy/Delete
Gender Pay Gap Report	Reports	Record superseded	Retain until superseded + 10 years	Destroy/Delete
Health and Safety risk assessments	Reports	Record superseded	Retain until superseded + 10 years	Destroy/Delete
HESA Staff collection	Staff Related	Action Completion	Retain from submission of report + 3 years	Destroy/Delete
HR Executive Group Papers	Meeting Papers	End of Group / Committee	Retain from date of last group meeting + 3 years	Destroy/Delete
Human Resources Policy Development	Operations & Procedures	Record superseded	Retain until superseded + 10 years	Destroy/Delete

(The Policy and any key records that informed policy development)				
Human Resources Procedure Development (The Procedure and any key records that informed procedural development)	Operations & Procedures	Record superseded	Retain until superseded + 1 year	Destroy/Delete
Human Resources Strategy Development (The Strategy and any key records that informed strategy development)	Reports	Record superseded	Retain until superseded + 10 years	Destroy/Delete
Monitoring files (Which will include equal opportunities questionnaires returned by the applicants, the Applicant Register and the Recruitment Summary Record).	Staff Related	Action Completion	Retain for recruitment period (i.e. closing date) + 5 years	Destroy/Delete
Occupational Health	Staff Related			Destroy/Delete
Promotions/Advancements	Staff Related	End of Contract / Relationship / Programme	Retain until termination of employment + 6 years	Destroy/Delete
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)	Staff Related	Action Completion	Retain for recruitment period (i.e. closing date) + 1 year	Destroy/Delete
REF Individual Staff Circumstances forms	Staff Related	End of Contract / Relationship / Programme	Retain while current	Destroy/Delete
Section 75 Reports	Reports	Record superseded	Retain until superseded + 10 years	Destroy/Delete
Section 75 screening and EQIAs	Equality Reports		Retain indefinitely	Move to Archive

Sick Leave	Staff Related	End of Contract / Relationship / Programme	Retain for duration of employment + 1 year	Destroy/Delete
Staff Disability Disclosure Forms	Staff Related	End of Contract / Relationship / Programme	Retain for duration of employment + 3 years	Destroy/Delete
Staff Grievances	Staff Related	Action Completion	Retain from outcome date + 6 years	Destroy/Delete
Staff Surveys	Staff Related	Action Completion	Retain until completion of survey + 10 years	Destroy/Delete
Succession Plans	Staff Related	Record superseded	Retain until superseded + 5 years	Destroy/Delete

Provost Office

Record Description	Category	Trigger Event	Retention Policy	Disposal Method
Student Discipline	Student Related	Action Completion	Retain from last action on case + 6 years	Destroy/Delete

Quality Enhancement

Record Description	Category	Trigger Event	Retention Policy	Disposal Method
Academic Policies (as approved by committees, or in relation to external agencies)	Operations & Procedures	Record superseded	Retain until superseded + 10 years Retain from issue of policy or procedure + 1 year	Destroy/Delete
Annual Course Review (Collaborative Courses) documents	Course Related	Academic Year End	Retain for current academic year + 5 years	Destroy/Delete
Committee papers	Meeting Papers	End of Group / Committee	Retain for life of committee + 5 years	Destroy/Delete
External working group documents	Meeting Papers	Record Creation	Retain from Issue of policy or procedure + 1 year	Destroy/Delete
Faculty Subject Partnership Manager Annual Reports	Reports	Academic Year End	Retain for current academic year + 5 years	Destroy/Delete
Institutional Approval/Re-Approval Files	Operations & Procedures	End of Contract / Relationship / Programme	Retain for lifetime of partnership + 5 years	Destroy/Delete
Module Feedback Survey documents	Course Related	Action Completion	Retain until completion of survey + 5 years	Destroy/Delete

Module Monitoring documents	Course Related	Academic Year End	Retain for current academic year + 5 years	Destroy/Delete
National Student Survey documents	Student Related	Action Completion	Retain reports for duration of current survey + 3 years	Destroy/Delete
PSRB Reports	Reports	End of Contract / Relationship / Programme	Retain for lifetime of relationship + 10 years	Destroy/Delete
QAA external reviews and audits (including TNE Audit)	Operations & Procedures	Action Completion	Retain until completion of audit + 3 years	Destroy/Delete
Records containing data on, and analyses of, student numbers and other programme statistics	Student Related	Academic Year End	Retain for current academic year + 5 years	Destroy/Delete
Records documenting general enquiries from other institutions or bodies in the sector, internal handling and responses given	Operations & Procedures	Action Completion	Retain from last action of enquiry + 1 year	Destroy/Delete
Records pertaining to Self-Effectiveness Review of Senate	Operations & Procedures	Action Completion	Retain until the completion of two subsequent reviews	Destroy/Delete
Records pertaining to Senate induction	Operations & Procedures	Record superseded	Retain until superseded + 5 years	Destroy/Delete
Records related to the tracking of income and expenditure against budget	Operations & Procedures	Financial Year End	Retain for current financial year + 1 year	Destroy/Delete
Reviews audits and responses on the quality and standards of teaching, including reports and analysis of module/programme effectiveness	Course Related	Academic Year End	Retain for current academic year	Destroy/Delete
Steering group papers	Meeting Papers	End of Group / Committee	Retain for life of steering group + 5 years	Destroy/Delete
Student Complaints files	Student Related	Action Completion	Retain from last action on complaint + 5 years	Destroy/Delete
Student Survey - Full dataset, including historical responses for the Student Survey	Student Related	Action Completion	Retain until completion of survey + 5 years	Destroy/Delete

University Policy Documents	Operations & Procedures	Record superseded	Retain until superseded + 10 years	Destroy/Delete
Working group papers	Meeting Papers	End of Group / Committee	Retain for life of working group + 5 years	Destroy/Delete

Research and Impact Directorate

Record Description	Category	Trigger Event	Retention Policy	Disposal Method
Sponsor information		Academic Year End	Retain for current academic year + 5 years	Destroy/Delete
REF records		Record superseded	Retain until superseded + 10 years	Destroy/Delete
Publications and presentations made to disseminate research results (NOT interim or final research reports)	Reports	Action Completion	Retain until publication/delivery + 3 years	Destroy/Delete
Records and working papers that develop and establish strategy, policies and procedures on research	Operations & Procedures	Record superseded	Retain until issue of new strategy, policy or procedure + 1 year	Destroy/Delete
Records documenting spending of research grants		End of Contract / Relationship / Programme	Review at termination of grant + 6 years or as stipulated by the funder	Destroy/Delete
Records documenting the costings, identification and exploration of new opportunities which lead to research projects		Action Completion	Retain until completion of project	Destroy/Delete
Records documenting the design and planning of research projects which are not undertaken		Action Completion	Retain until the abandonment or unsuccessful funding of plans + 1 year	Destroy/Delete
Records documenting the design and planning of research projects which are undertaken: key records		Action Completion	Retain until the completion of project + 10 years	Destroy/Delete
Records documenting the design and planning of		Action Completion	Retain until completion of project	Destroy/Delete

research projects which are undertaken: working papers				
Records documenting the development of the quality and standards of research		Action Completion	Retain while current	Destroy/Delete
Records documenting the identification and exploration of new research opportunities which do not lead to research projects		Action Completion	Retain until last action + 5 years	Destroy/Delete
Records documenting the management of externally funded research projects		Action Completion	Retain until completion of project + 6 years or as stipulated by the funder	Destroy/Delete
Records documenting the management of internally funded research projects		Action Completion	Retain until completion of project + 3 years	Destroy/Delete
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)		Action Completion	Retain until the abandonment or unsuccessful funding of plans + 1 year	Destroy/Delete
Records that develop and establish strategy, policies, and procedures on research	Operations & Procedures	Record superseded	Retain until superseded + 10 years	Destroy/Delete

Strategy, Planning and Performance Directorate

Record Description	Category	Trigger Event	Retention Policy	Disposal Method
Academic Planning records & reports	Reports	Academic Year End	Retain for 6 years	Destroy/Delete
Admissions Monitoring reports	Reports	Academic Year End	Retain for 6 years	Destroy/Delete
Balanced Scorecard reports	Reports	Academic Year End	Retain for 6 years	Destroy/Delete
Committee papers	Meeting Papers	End of Group / Committee	Retain for life of committee + 5 years	Destroy/Delete
Directorate Risk Register	Operations & Procedures	Record superseded	Retain until superseded + 3 years	Destroy/Delete

Faculty Accountability Reports, Minutes, and Action Plans	Meeting Papers	Record Creation	Retain for 6 years	Destroy/Delete
HESA Aggregate Offshore Collection		Record Creation	Retain from submission of report + 3 years	Destroy/Delete
HESA Institutional Profile Collection		Record Creation	Retain from submission of report + 3 years	Destroy/Delete
HESA Student collection	Student Related	Record Creation	Retain from submission of report + 3 years	Destroy/Delete
Higher Education Return Early Statistics (HESES)		Record Creation	Retain from submission of report + 3 years	Destroy/Delete
Invoice records – Mobile phone bills, mileage claims, and paper receipts.	Finance Related	Financial Year End	Retain for current financial year + 3 years	Destroy/Delete
League Table submissions		Record Creation	Retain for year of submission + 5 years	Destroy/Delete
League Tables outcomes analysis and briefing papers		Record Creation	Retain for year of submission + 5 years	Destroy/Delete
Professional and Academic Services Accountability meeting Reports, Minutes and Action Plans.	Meeting Papers	Record Creation	Retain for 6 years	Destroy/Delete
Steering group papers	Meeting Papers	End of Group / Committee	Retain for life of steering group + 5 years	Destroy/Delete
Working group papers	Meeting Papers	End of Group / Committee	Retain for life of working group + 5 years	Destroy/Delete

Student Administration

Record Description	Category	Trigger Event	Retention Policy	Disposal Method
Student marks	Student Related	Academic Year End	Completion of student's module or programme + 6 years	Destroy/Delete
Admissions Policy/Admission Complaints Policy	Operations & Procedures	Academic Year End	Retain for current year	Destroy/Delete
Certificates of students who have not attended	Student Related		Retain permanently	Move to Archive

graduation/requested postage.				
External Examiner Appointment	Examiner Related	End of Contract / Relationship / Programme	Retain until end of appointment + 1 year	Destroy/Delete
Graduation Refund Listings		Academic Year End	Retain for current year	Destroy/Delete
LEA Reports	Reports	Academic Year End	Retain for current year + 1 year	Destroy/Delete
Missing Script Documentation/Senior Invigilator Reports	Reports	Record Creation	Retain for 1 year	Destroy/Delete
Reference requests/replacement transcripts/letters of confirmation		Action Completion	Retain for 1 year	Destroy/Delete
SLC Contracts		Record Creation	Retain for 3 years	Destroy/Delete
Student Appeals, Communication of Results Forms	Student Related	Academic Year End	Retain for current academic year + 6 years	Destroy/Delete
Student Applications	Student Related	Action Completion	Unsuccessful - Retain until completion of admissions process + 1 year.	Destroy/Delete
Student Guide	Student Related	Academic Year End	Retain for current year	Destroy/Delete
Student Record Amendment Forms	Student Related	Academic Year End	Retain for student duration + 1 year	Destroy/Delete
Student records used to provide transcripts, replacement certificates, reference requests, confirmation of dates of attendance.	Student Related		Retain permanently	Move to Archive
Student Support RAR Forms	Student Related	Academic Year End	Retain until end of student relationship + 1 year	Destroy/Delete
UCAS related communications		Academic Year End	Retain for current year	Destroy/Delete

Functionality: Student Support

Record Description	Category	Trigger Event	Retention Policy	Disposal Method
Student funding applications	Student Related	Record superseded	Retain for current financial year + 6 years	Destroy/Delete
Disability services ASN for non-students	Student Related	Academic Year End	Retain until confirmation is received that the student is not attending Ulster University	Destroy/Delete
Disability services student file documents	Student Related	Academic Year End	Retain until end of student relationship + 6 years	Destroy/Delete
Student funding payment records	Student Related	Financial Year End	Retain for current financial year + 6 years	Destroy/Delete
Student Support Operational and Policy records	Operations & Procedures	Record superseded	Retain until superseded + 3 years	Destroy/Delete
Support provider application form reference		Record Creation	Retain from provision of reference + 1 year	Destroy/Delete
Support provider information		Record superseded	Retain until superseded	Destroy/Delete
Support provider interview notes		Action Completion	Retain for up to 1 year or until recruitment process is complete	Destroy/Delete
Support provider learning plans		End of Contract / Relationship / Programme	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.	Destroy/Delete
Support provider personal documentation		End of Contract / Relationship / Programme	Retain until the Support Provider withdraws or is withdrawn from the Register	Destroy/Delete
Support provider statement of agreement		Record Creation	Retain for 3 years	Destroy/Delete
Support provider student information	Student Related	Record Creation	Retain for 3 years	Destroy/Delete
Support provider work records		Academic Year End	Retain for current year + 7 years	Destroy/Delete

