Al-Maktoum College of Higher Education

Record Retention Policy and Procedures (Academic)

Department/Team	Policy & Procedure
Academic	**Policy & Procedure 003**
Reference No.	**Version No.**
ALM/ACD/PAP/003/RV4	4

Approved by:

Board/Committee	Date
Academic Council	28.09.2023

Date of next review:
July 2024

APPLICANT & STUDENT ADMINISTRATION

AREA	RECORDS	RETENTION PERIOD	EXPLANATION OF RETENTION PERIOD
Student Enquiries	Emails and enquiries from prospective students	Current academic year + 1 year	To allow any disputes to be raised, or applications to be progressed further.
Student Applications	Successful applications (including registration details, personal data	End of student relationship + 3 years	Forms part of the student's file. The College has been asked for details such as age/nationality from QAA for past 3 years.
Student Applications	Unsuccessful applications from prospective students	Current academic year + 1 year	To allow any disputes to be raised, or applications to be progressed further.
Applicant appeals	Records documenting the handling and results of formal appeals or complaints made by applicants.	Last action on case + 1 year	To allow any disputes to be raised, and for quality assurance purposes.
Registration	Records documenting the registration of individual students on programmes/units.	End of student relationship + 2 years	Forms part of the student's file
Registration	Records containing summaries and analysis of data on registration of students	If anonymised, retain as needed	
Personal Data	Student file containing personal data on individual students	End of student relationship + 3 years	For reference/enquiries; external review purposes; in case of complaints/appeals; and for UKVI purposes.
Requests	Records documenting individual students' requests for transcripts/replacement certificates	Last action + 1 year	To allow time for any queries.
Requests	Records documenting requests for confirmation of award/attendance/conduct from employers and other educational institutions	Last action on request + 1 year	To allow any disputes to be raised. To provide detail for references.
Student Progress	Records documenting the academic progress of individual students and formal action taken by the institution to deal with unsatisfactory progress	End of student relationship + 2 years	If this is the subject of an ongoing dispute at the time of graduation, keep for 3 years after completion. Otherwise, 2 years is sufficient to allow any disputes/queries to be raised.

Transfer/withdrawal/termination	Records documenting the transfer of individual students to new programmes/courses. Or the withdrawal/termination of their studies.	End of student relationship + 2 years	For reference/enquiries and to allow time for any queries.
Disciplinary proceedings	Records documenting the conduct and results of disciplinary proceedings against individual students.	Last action on case + 2 years	To allow any disputes to be raised.
Student appeals	Records documenting the handling and results of academic appeals by individual students.	Last action on case + 2 years	To allow any disputes to be raised, and for quality assurance purposes.
Student complaints	Records documenting the handling and results of formal complaints made by individual students against the institution.	Last action on case + 2 years	To allow any disputes to be raised, and for quality assurance purposes.
Library	Records of library users	End of student relationship + 1 year	To allow for outstanding issues to be resolved.
Library	Records of catalogues, book orders etc.	4 years	For reference.
Graduation	Award Ceremony administration	Completion of ceremony + 1 year	For reference.
Alumnus		While current (or likely to be current)	For maintaining contact with alumni
Anonymised statistics and information		Retain for as long as needed	

TEACHING

AREA	RECORDS	RETENTION PERIOD	EXPLANATION OF RETENTION PERIOD
Internal review	Records documenting the conduct and results of formal internal reviews of teaching quality, and responses to the results.	Current academic year + 3 years	For reference and quality assurance purposes.
Internal review	Records containing reports of routine internal reviews of taught programmes.	Current academic year + 3 years	For reference and quality assurance purposes.
External review	Records documenting the conduct and results of external reviews and audits of teaching quality and standards.	Current academic year + 3 years	For reference and quality assurance purposes.
Programme design	Records documenting the design and development of taught programmes/units.	Life of programme + 10 years	For reference and further development.
Programme/unit approval	Records documenting the process of obtaining approval and/or accreditation for taught programmes/units.	Life of programme + 4 years	For reference and further development.
Statistics	Records containing data on, and analysis of, student numbers and other taught programme statistics.	If anonymised, retain as needed	
Feedback/evaluation	Records documenting routine solicited feedback on taught programmes from staff and examiners: individual feedback	Current academic year + 3 years	For reference, further development and quality assurance purposes.
Feedback/evaluation	Records documenting routine solicited feedback on taught programmes from students: individual feedback	Current academic year + 3 years	For reference, further development and quality assurance purposes.
Feedback/evaluation	Records containing (anonymised) summaries and analyses of routine solicited feedback on taught programmes from staff, examiners and students.	If anonymised, retain as needed	
Teaching material	Records documenting the preparation of teaching and learning material.	Current academic year + 2 year	For reference and further development.
Teaching events	Records documenting the planning and conduct of teaching and learning events.	Current academic year + 2 years	For reference.

Assessment	Records documenting the design and development of assessments.	Life of programme	For reference and further development.
Assessment	Records documenting submitted/completed assessments: formative assessments.	Current academic year	Results have been communicated to student, and are not needed for current studies.
Assessment	Records documenting assessments used each year	Life of programme + 5 years	To produce a bank of assessments for possible future use.
Assessment	Records documenting marks/grades given to submitted/completed summative assessments and, where appropriate, awards and classifications.	Permanent	Needed for transcripts, and part of the core archival student record.
Academic progress	Records documenting feedback on academic progress, and general academic guidance and support, given to individual students.	End of relationship + 2 years	Allows time for disputes/queries to be raised.

STUDENT ASSESSMENT[1]

AREA	RECORDS	RETENTION PERIOD	EXPLANATION OF RETENTION PERIOD
External examiners	Records documenting the selection and appointment of external examiners.	Termination of appointment + 1 year	Allows time for any queries to be raised.
External examiners	Records documenting liaison with external examiners on administrative matters.	Current academic year + 5 year	If the College is selected for external verification, the candidate assessment evidence for the selected units must be retained for the Qualification Verification visit or central verification event. Documented records to be retained for five years. The documents would include all materials and evidence of external examination. These documents are also be used for reference, quality assurance and precedent purposes.
Invigilation	Records documenting the selection and appointment of examination invigilators.	1 year following the date of completion as registered with SQA (or up to 6 years for special cases)	In cases of malpractice by the student or the staff, as well as in the cases of appeal by the student, the retention period will be longer, to allow time for disputes/queries to be raised.
Assessment	Student assessments	Current academic year + 1 year (or up to 6 years for special cases) *For SQA purposes, centres are required to retain candidate assessment evidence for three weeks after the candidate unit completion date the centre has notified to SQA. However the College has decided to retain them for longer for the reasons outlined in the right hand column.*	Allows time for disputes/queries to be raised. If the College is selected for external verification, the candidate assessment evidence for the selected units must be retained for the Qualification Verification visit or central verification event. In cases of malpractice by the student or the staff, as well as in the cases of appeal by the student, the retention period will be longer, to allow time for any queries to be raised.

---

[1] Candidate evidence should be retained in line with SQA requirements https://www.sqa.org.uk/sqa/files_ccc/SQA_Evidence_retention_requirements.pdf

ALM/ACD/PAP/003/RV4   Record Retention Policy and Procedures (Academic)

			For these, documented records to be retained for three years. The documents would include all materials and evidence, until the malpractice cases or appeals have been resolved.
			In an investigation involving a criminal prosecution or civil claim, records and documentation will be retained for six years after the case and has been heard.
			In the case of an appeal to SQA against the outcome of a malpractice investigation, assessment records must be retained for six years.
Internal verification	Records documenting internal verifications	1 year following the date of completion as registered with SQA (or up to 6 years for special cases)	If the College is selected for external verification, the candidate assessment evidence for the selected units must be retained for the Qualification Verification visit or central verification event. In cases of malpractice by the student or the staff, as well as in the cases of appeal by the student, the retention period will be longer, to allow time for any queries to be raised. For these, documented records to be retained for three years. The documents would include all materials and evidence, until the malpractice cases or appeals have been resolved. In an investigation involving a criminal prosecution or civil claim, records and documentation will be retained for six years after the case and has been heard. In the case of an appeal to SQA against the outcome of a malpractice investigation, assessment records must be retained for six years.
Candidate records	Records documenting candidate records of achievement	1 year following the date of completion as registered with SQA (or up to 6 years for special cases)	Allows time for disputes/queries to be raised. If the College is selected for external verification, the candidate assessment evidence for the selected units must be retained for the Qualification Verification visit or central verification event. In cases of malpractice by the student or the staff, as well as in the cases of appeal by the student, the retention period will be longer, to allow time for any queries to be raised.

			Documented records to be retained for three years. The documents would include all materials and evidence, until the malpractice cases or appeals have been resolved. In an investigation involving a criminal prosecution or civil claim, records and documentation will be retained for six years after the case and has been heard. In the case of an appeal to SQA against the outcome of a malpractice investigation, assessment records must be retained for six years.
Exams	Records documenting the control of examination papers.	Current academic year + 1 year	For quality assurance purposes.
Exams	Records documenting the timetabling of examinations	1 year following the date of completion as registered with SQA	No longer needed.
Exams	Records documenting the organisation of examination facilities, including special arrangements for students with special needs.	Current academic year + 6 year	Can be useful for precedent purposes, and for quality assurance.
Exams	Records documenting individual student's attendance at examinations, and the handling of reports of mitigating circumstances.	Current academic year + 1 year *(except mitigating circ. which may be kept with the student file)*	Mitigating circumstances can be useful for precedent purposes, and for quality assurance.
Exams	Records documenting the collation of examination results and compilation of pass lists and individual notifications of results.	1 year following the date of completion as registered with SQA	Allows time for disputes/queries to be raised.
Examiners Meeting	Records documenting the arrangements for Examiners Meetings	Current academic year + 1 year (or 3 -5 years)	Allows time for queries to be raised.
Examiners Meeting	Records documenting the conduct of the business of the Examiners Meeting: agenda, minutes and papers.	Current academic year + 5 years	For reference, quality assurance and precedent purposes.

ALM/ACD/PAP/003/RV4   Record Retention Policy and Procedures (Academic)

Examiners Meeting	Records relating to the conduct of the business of the meeting: correspondence, actions to be taken (or not taken) as a result of Examiners Meeting decisions.	Current academic year + 5 years	For reference and quality assurance purposes.

RESEARCH

AREA	RECORDS	RETENTION PERIOD	EXPLANATION OF RETENTION PERIOD
Internal review	Records documenting the conduct and results of formal internal reviews of research quality, and responses to the results.	Current academic year + 3 years	For reference and quality assurance purposes.
External review	Records documenting the conduct and results of external reviews and audits of research quality and standards.	Current academic year + 3 years	For reference and quality assurance purposes.
New research opportunities	Records documenting the identification and exploration of new research opportunities which lead to research projects.	Completion of project	For reference and further development.
New research opportunities	Records documenting the identification and exploration of new research opportunities which do not lead to research projects.	Last action + 5 years	For reference and further development.
Research partnerships	Records documenting the formation and management of partnerships and other collaborative arrangements to undertake research.	Life of partnership/arrangement + 5 years	For reference and further development.
Research projects	Records documenting the design and planning of research projects which are not undertaken.	Abandonment of plans + 1 year. *Retention for a longer period may be necessary depending on the reason for abandoning the project.*	For reference.
Research projects	Records documenting the design and planning of research projects which are undertaken: key records.	Completion of project + 10 years	For reference and to allow time for any queries.
Research projects	Records documenting the design and planning of research projects which are undertaken: working papers.	Completion of project	For reference and to allow time for any queries.
Funding applications	Records documenting the preparation and submission of applications for funding, where the application is unsuccessful.	Receipt of notification that application was unsuccessful + 1 year.	For reference and to allow time for any queries.

		Note of outcome to be recorded permanently.	
Funding applications	Records documenting the preparation and submission of applications for funding, where the application is successful.	Completion of project (i.e. termination of award) + 5 years. *Note of outcome to be recorded permanently.*	For reference and to allow time for any queries.
Externally funded research	Records documenting the conduct of all research funded by other organisations.	Completion of project + 10 years. *A shorter or longer retention period may be appropriate, depending on the discipline and the characteristics of the project, or may be required by a research sponsor.*	For reference and to allow time for any queries.
Publications/presentations	Working papers for the preparation of publications, audio-visual presentations etc. to disseminate research results (NOT interim of final research reports).	Publication/Delivery + 1 year	For reference, further development, and to allow time for any queries.
Publications/presentations	Final versions of publications and presentations made to disseminate research results (NOT interim or final research reports).	Publication/Delivery + 3 years	For reference, further development, and to allow time for any queries.
Internal Funding	Records documenting the management of internally-funded research projects.	Completion of project + 5 years	For reference and to allow time for any queries.
External Funding	Records documenting the management of externally-funded research projects.	Completion of project + 5 years	For reference and to allow time for any queries.
Research programmes	Records documenting the development of the College's research programmes.	Life of programme + 10 years	For reference, further development, and quality assurance purposes.
Monitoring trends	Records documenting routine monitoring of external developments and trends to inform the development of the College's research programmes.	Current academic year + 1 year	For development purposes.
Statistics	Records containing the data on, and analysis of, student numbers and other programme statistics.	If anonymised, retain as needed	

ALM/ACD/PAP/003/RV4   Record Retention Policy and Procedures (Academic)

Internal review	Records containing reports of routine internal reviews of research programmes.	Current academic year + 3 years	For development and quality assurance purposes.
External review	Records documenting the conduct and results of formal independent reviews of research programmes, and the responses to the results.	Current academic year + 3 years	For development and quality assurance purposes.
Student Progress	Records documenting the conduct of formal assessments of work undertaken by research students.	End of student relationship + 2 years	To allow time for any queries to arise.
Awards	Records documenting awards and classifications, including reviews in response to notifications of mitigating circumstances or academic appeals.	Permanent	Part of the core archival student record.
Supervisors	Records documenting the appointment of supervisors for research students.	Termination of appointment + 5 years	May be needed to identify someone as a referee.
Student Progress	Records documenting academic advice and guidance to individual students on the selection of research subjects and on the progress and standard of their work.	End of student relationship + 2 years	Allows time to resolve any issues or queries. Potential input into references.
Theses and Dissertations	Student's theses/dissertations	Permanent	Part of the core research resources of the College