



02 AUDIT RECORDS

University Retention Schedule

Contents

2.1.	Programme Quality, Monitoring & Review	2
2.1.1.	Committees	2
2.1.2.	Excellence and Quality Improvement Plans (EQIPs) and Annual Standards and Quality Evaluative Reviews (ASQERs)	2
2.1.3.	Periodic Reviews of Curriculum	3
2.1.4.	External Examiners.....	3
2.1.5.	Validation and Accreditation by Professional, Statutory and Regulatory Bodies (PRSBs).....	3
2.1.6.	QAA Audits	4
2.1.7.	Student Feedback	4
2.1.8.	Peer Review.....	4
2.2.	Internal Audits.....	5
2.3.	External Audits	5
2.3.1.	Audits by the External Auditor.....	5
2.3.2.	Financial Audits (HRMC).....	6
2.3.3.	Office for Students (OfS) Audits.....	6
2.4.	Health and Safety Audits.....	6
2.5.	Environmental Audits.....	6
2.6.	Framework Submissions & Concordats	7
2.6.1.	Research Excellence Framework (REF)	7
2.6.2.	Teaching Excellence Framework (TEF).....	8
2.6.3.	Knowledge Excellence Framework (KEF)	8
2.6.4.	Concordats	9
2.7.	Non-academic Accreditation and Validation	9
2.7.1.	General Accreditations and Validation	9
2.7.2.	Equality & Diversity Accreditations.....	10

2.1. Programme Quality, Monitoring & Review

2.1.1. Committees

For example: Boards of Studies, Student Voice committee (formerly Student Staff Consultative committee), Boards of Teachers, Programme Management Groups (where convened)

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	DEPTS RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Minutes, agendas and supporting papers		End of academic year	3 years*		Internal and external Audits; Student Voice Policy & Student Voice Policy: Operational Annex	*Unless a longer retention period is required by professional bodies	K:drive			

2.1.2. Excellence and Quality Improvement Plans (EQIPs) and Annual Standards and Quality Evaluative Reviews (ASQERs)

From 2020/21 Annual Standards and Quality Evaluative Reviews (ASQERs) will only apply to collaborative courses.

For example: course leaders' reports, HoD's reports, annual review group minutes

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	FACULTIES RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Home courses (EQIPs)		End of academic year	3 years*		Internal and external Audits; Programme Monitoring and Review: Policy, Procedures and Guidelines	*Unless a longer retention period is required by professional bodies From academic year 2020/21	eRecords system	n/a		
Home courses (ASQERs)		End of academic year	3 years*		Internal and external Audits; Programme Monitoring and Review: Policy, Procedures and Guidelines	*Unless a longer retention period is required by professional bodies Ceased academic year 2019/20	n/a	eRecords system		
Collaborative courses (ASQERs)		Expiry of contract	6 years		Internal and external Audits; To answer contractual queries; Limitation Act 1980; Programme Monitoring and Review: Policy, Procedures and Guidelines		eRecords system	K:drive		

2.1.3. Periodic Reviews of Curriculum

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	FACULTIES RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Home courses: final reports and action plans		Completion of next periodic review	N/A		Internal and external Audits; Programme Monitoring and Review: Policy, Procedures and Guidelines		eRecords system	K:drive		
Collaborative programmes and partnerships: all documentation		Expiry of contract	6 years		Internal and external Audits; To answer contractual queries; Limitation Act 1980; Programme Monitoring and Review: Policy, Procedures and Guidelines		eRecords system	K:drive		
All courses: background papers		Completion of review	N/A		Internal and external Audits; Programme Monitoring and Review: Policy, Procedures and Guidelines		eRecords system	K:drive		

2.1.4. External Examiners

NB: For External Examiner contracts see [Retention Schedule – 10 Strategy & Governance > Validation and Accreditation Contracts](#)

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	DSAA RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Reports and responses		End of academic year	6 years		Common practice within HE; Internal and external audits/reviews	For example: subject reports, award reports, responses to those reports	eRecords system		VLE	

2.1.5. Validation and Accreditation by Professional, Statutory and Regulatory Bodies (PRSBs)

NB: For contractual matters see [Retention Schedule – 10 Strategy & Governance > Validation and Accreditation Contracts](#)

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	FACULTIES RETENTION PERIOD	DSAA RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Final reports		N/A	Permanent	Permanent		To preserve evidence of quality and professional recognition of courses		K:drive	Local filing cabinets / FileStore		
Background papers		Completion of audit	N/A	N/A		To provide reference material for preparing next audit					

2.1.6. QAA Audits

Now carried out under contract with the Office for Students (OfS)

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	DSAA RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Key documents		N/A	Permanent		To preserve evidence of quality and validity of courses; To provide reference material for preparing next audit	For example: final reports, self-evaluation documents, action plans	Web	K:drive	Report published on the QAA website. Action plan published on UoP website	
Background papers		Completion of audit	N/A		To ensure paperwork is available for conduct of audit	For example: background papers relating to audits by the Quality Assurance Agency	K:drive	K:drive	Not published	

2.1.7. Student Feedback

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	DSAA RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Forms/questionnaires		Until collated	N/A		Not required once collation is complete					
Collated data & analysis		End of academic year	3 years*		Internal and external Audits; Student Feedback policy; Unit Management Handbook (Annex A)	*Unless a longer retention period is required by professional bodies				

2.1.8. Peer Review

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	DEPTS RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Documents recording peer review activities		End of academic year	3 years		To support staff and curriculum development; Internal and external audits; Investors in People purposes; Peer Review and Development Framework	For example: Dept level – summary reports, records of completion. Individual staff level – completed pro-formas, discussion notes	Various			

2.2. Internal Audits

Audits carried out by the internal auditor (currently RSM). Actions are held on RSM’s own system, so no longer UoP records. Most evidence is held on active UoP systems, so no longer provided in a discrete evidence pack.

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	DEPTS RETENTION PERIOD	DIRECTORATE RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Final reports		Completion of audit	6 years	Permanent	Archive	Master held as part of the Audit and Quality Committee papers	Includes terms of reference	eRecords System	K:drive / University Archive		
Evidence (if provided as a separate entity)		Final report signed off	N/A		Dispose			eRecords System	K:drive		

2.3. External Audits

2.3.1. Audits by the External Auditor

Audits carried out by the external auditor (currently Deloitte). Most evidence is held on active UoP systems, so no longer provided in a discrete evidence pack.

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	DEPTS RETENTION PERIOD	DIRECTORATE RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Audit strategy		N/A		Permanent	Archive	Master held as part of the Audit and Quality Committee papers		eRecords System	K:drive/University Archive		
Final reports		Completion of audit	6 years	Permanent	Archive	Master held as part of the Audit and Quality Committee papers	Includes terms of reference	eRecords System	K:drive/University Archive		
Evidence (if provided as a separate entity)		Completion of audit	6 years		Dispose	To refer to during subsequent audits		K:drive	K:drive		

2.3.2. Financial Audits (HRMC)

Most evidence is held on active UoP systems, so no longer provided in a discrete evidence pack.

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	FINANCE RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Final reports / Letters		N/A	Permanent	Archive			eRecords System			
Evidence (if provided as a separate entity)		Completion of audit	N/A	Dispose		Includes system reports and checking				

2.3.3. Office for Students (OfS) Audits

Most evidence is held on active UoP systems, so no longer provided in a discrete evidence pack.

See also 2.1.6 – QAA Audits, which are now carried out under contract with the OfS

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	DEPTS RETENTION PERIOD	DIRECTORATE RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Final reports / Letters		Completion of audit	6 years	Permanent	Archive	Master held as part of the Audit and Quality Committee papers		eRecords System	N/A		
Evidence (if provided as a separate entity)		Final report/letter received	N/A		Dispose			eRecords System	N/A		

2.4. Health and Safety Audits

See Schedule 8 – Risk Management Records, Section 8.6 – Health and Safety

2.5. Environmental Audits

See Schedule 1 – Asset Management Records, Section 1.2.3 – Environmental Management

2.6. Framework Submissions & Concordats

2.6.1. Research Excellence Framework (REF)

Known as the Research Assessment Exercise (RAE) until 2008. The first REF submission was 2014. Process overseen by Research England.

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	RIS RETENTION PERIOD	DIRECTORATE RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
The REF submission	E	Completion of subsequent return	N/A		Dispose	Audit requirement; To inform subsequent submission	Covers REF forms 1-5 * Publication of some data (e.g. third parties involved in research projects) may be subject to consent.	Pure	K:drive for 2014	Redacted info published by Research England*	
REF results letter	E	N/A		Permanent	Archive	Historical value			RIS K:drive	Published by Research England	
Supporting evidence (not submitted)	E	Completion of audit period	N/A		Dispose	Audit requirement	For example: staff circumstances/exemptions, impact case study testimonials, non-staff consent	Secure folder K:drive	K:drive for 2014	Not published	
Private Panel Feedback	E	Receipt of feedback	10 years		Dispose	To inform subsequent submission	Shared as appropriate, RIS to maintain data as central record	Secure folder K:drive			
Post-submission analysis	E	Completion of analysis	10 years		Dispose	To inform subsequent submission and analysis	EIA report post REF and comparative data to plan for next REF	K:drive			
Research England return	E						The QRGCRF return				

2.6.2. Teaching Excellence Framework (TEF)

Current TEF Outcome is available on the [OfS website](#).

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	PLANNING RETENTION PERIOD	DIRECTORATE RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
The TEF submission	E	Completion of subsequent return	N/A		Review*	Audit requirement; To inform subsequent submission	* Review after submission of second TEF return to assess whether retention required beyond this point and/or historical value	K:drive	n/a	Published by OfS	
TEF results letter	E	N/A		Permanent	Archive	Historical value		K:drive	n/a	Published by OfS	
Supporting evidence (not submitted)	E	Completion of subsequent return	N/A		Dispose	To inform subsequent return		K:drive	n/a	Not published	
Panel Feedback	E	Receipt of feedback	10 years		Dispose	To inform subsequent submission	Only public feedback is received for the TEF	K:drive	n/a	Published by OfS	
Post-submission analysis	E	Completion of analysis	10 years		Dispose	To inform subsequent submission and analysis		K:drive	n/a	Not published	

2.6.3. Knowledge Excellence Framework (KEF)

Data mainly drawn by Research England direct from the HEBCI return statistics.

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	RIS RETENTION PERIOD	DIRECTORATE RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Narratives	E	Completion of subsequent return	N/A		Dispose	Audit requirement; To inform subsequent submission	Required for 2 of the 7 criteria				
KEF results		Publication of results		Permanent	Archive	Historical value				Published by Research England	

2.6.4. Concordats

UoP is signed up to various concordats, which require either annual or biennial action. This action may be a statement report, or it may be a process of submission and outcome.

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	RIS / PLANNING RETENTION PERIOD	DIRECTORATE RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Initial applications		Termination of concordat	6 years		Dispose	Limitations Act 1980					
Statement reports	E	Completion of subsequent report	N/A	Permanent	Dispose/ Archive	Master held as part of the Audit and Quality Committee papers Kept by RIS only to inform subsequent report					
Submissions	E	Completion of subsequent submission	N/A		Dispose	To inform subsequent submission	For example: Action plans for the 8 principles of the Knowledge Exchange concordat				
Outcomes/responses	E	Completion of subsequent submission	N/A	Permanent	Dispose/ Archive	Master held as part of the Audit and Quality Committee papers Kept by RIS only to inform subsequent submission					

2.7. Non-academic Accreditation and Validation

2.7.1. General Accreditations and Validation

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	OBTAINING DEPT RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Records of accreditation, award or status obtained		Outcome superseded or expired	3 years	Dispose						

2.7.2. Equality & Diversity Accreditations

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	CHARTER COORDINATOR RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Records of accreditation, award or status obtained	E	Outcome superseded or expired	12 years	Archive	To inform future submissions and track progress on actions				Anonymised version published on intranet	
Action Plans	E	Outcome superseded or expired	12 years	Dispose	To inform future submissions and track progress on actions	For example: Athena Swann and the Race Charter	K:Drive		Summary published on website	
Workplace audits (download of info provided by UoP via online form)	E	Outcome superseded or expired	12 years	Dispose	To inform future submissions and track progress on actions	For example: Stonewall and Working Families	K:Drive			