Development and Alumni Relations Retention Schedule

Records Management Policy

Version Control and Approval

Version Number	Comments	Author	Date
V0.01	Working draft	J Angell/S Jones/L Woodhouse	20/4/2020
V0.02	Working draft	J Angell/S Jones/L Woodhouse	27/5/2020
V1.0	Finalised policy copied into new format template	J Angell/S Jones/L Woodhouse	23/3/2021
V1.1	Draft annual revision	J Angell	27/9/2022

Version Number	Approved by	Date
V1.0	J Angell	March 2021

SUBJECT TO REGULAR REVIEW DO NOT USE AFTER 27 09 2025

Implementation Guidance

Principles to follow

- It is good practice to proactively dispose of records on a regular basis (at least once a year if not more frequently). This helps make the process more manageable by keeping the quantity of records in your systems/storage locations to a manageable volume. If no proactive disposal takes place then it can make carrying out a review of records complex and time consuming (typically coinciding with the need to move offices or cleanse data from a system).
- Disposal actions need to be carried out when records are no longer 'current' (for example when a student has completed their studies with the University then their records are no longer active and can be reviewed). Retention periods will start to apply once a 'trigger' has been reached. For student data this will generally be the end of their studies. It is very rare for retention periods to start from the creation of a record.
- Retention rules apply to all information regardless of its format. This means that the same retention periods should apply to paper records as well as electronic records. The only exception to this might be when data has been extracted from a paper record and input into a system (i.e. transcribing information into a database and then regarding the information in this database as 'the record'). In cases where information has been transcribed it is usually beneficial to retain the paper original for a short period of time in case of any data quality concerns over the transcribed data.
- In order to make the proactive disposal of information easier it is good practice to store information in a way that supports the eventual disposal process. Examples might include arranging folders on the X:Drive by academic year so that a retention rule can be applied at the end of year. Similarly it is best practice to avoid large spreadsheets or database that include all of a School/Department's students over multiple cohorts as this can make the eventual disposal complex and time consuming, in these cases it is best practice to have a single spreadsheet/database based on a cohort year.
- The University Archives are the corporate memory of the University. Information transferred to the archive, in paper or digital form, is preserved permanently for staff, students, alumni and non-members of the University community to research within (subject to Information legislation). The Archives and Special Collections pages on the Library website tell you more about what we want to collect and how to transfer records, or you can email the team with any questions.

SUBJECT TO REGULAR REVIEW DO NOT USE AFTER 27 09 2025

Where to go for more information

- For information on student data held locally please contact the relevant school or departmental Operations Manager in the first instance.
- For any queries about retention periods that are not covered by this retention schedule or records management in general please contact Records Management.

Principles specific to PACE data

Data should be categorised according to whether it is:

1) Relevant to the ongoing relationship
2) Not relevant to the ongoing relationship
3) Non-personal information e.g. office administration leading up to publication of a magazine

Retention periods should be set based on the above categorisation, where:
1) Data of relevance to the ongoing relationship should be retained, *so long as it maintains relevance*

2) Data of no relevance to the ongoing relationship should be deleted in line with legal/statutory timescales or JISC recommended practice

3) Office administration should be kept for as long as it is of use and considered to be offered to Archives when no longer of use.

Of particular interest is the category of data which is relevant to the ongoing relationship with a graduate or supporter. Occasionally such data may be entangled with data that is not of relevance. In such cases, the relevant data will be extracted and placed into a data vehicle which will enable it to be retained and the non-relevant data to be destroyed. For example, the fact that a graduate contacted us with comments on the alumni magazine is important – the details of the comments less so. Retaining the date of contact and type of contact is of relevance to our ongoing relationship and our ability to analyse alumni relations activity, but the precise details of the communication are irrelevant (apart from guiding our response to those comments).

Records Management Policy

Contents

1. Alumni Administration

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
1.1	Maintaining and administering a register of Alumni, in line with the Royal Charter	Biographical details (Name, age) + courses completed (inc. dates).	Permanent	Business Requirement	Stored in Raiser's Edge
1.2	Demographic and other screening of alumni and supporter records to better target and segment alumni and supporter relations activity	Mosaic/wealth screening	Destroy three years from last activity	Business Requirement	DARO FileStore (currently X:drive but will move to SharePoint); Raiser's Edge

SUBJECT TO REGULAR REVIEW DO NOT USE AFTER 27 09 2025

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
1.3	Stay in touch forms/other forms	Paper based forms and online forms	Destroy three years after receipt of information	Business Requirement – forms contain consent information	Hard copy and electronic forms (information added to Raiser's Edge)
1.4	Correspondence received from alumni	General Enquiries	Destroy one year from receipt (anything of relevant interest retained in Raiser's Edge and offered to archives)	Business Requirement	Information uploaded to Raiser's Edge
1.5	Summary (anonymised) statistical records of alumni	Demographics	Retain for current year and destroy 10 years from end of calendar year	Business Requirement/JISC Guidance	DARO FileStore
1.6	Records documenting the handling of complaints from alumni (and supporters)	Correspondence and responses	Destroy six years from last action on complaint (longer, determined on case-by-case advice, if complaint could be basis of legal action)	Business Requirement/JISC Guidance	Raiser's Edge record and DARO FileStore

SUBJECT TO REGULAR REVIEW DO NOT USE AFTER 27 09 2025

UNIVERSITY OF LEICESTER

2. Event Administration

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
2.1	Event promotional materials	Brochures	Retain for five years then offer to archives	Business Requirement	DARO FileStore
2.2	Planning and evaluating the impact of events (excluding financial information)		Destroy three years from the conclusion of the event	Business Requirement/ JISC Guidance	DARO FileStore
2.3	Organisation and administration of events (excluding financial information)	Dietary requirements Attendee information Seating Plans 3rd Parties (i.e. venue) Briefings Badge templates Mail merge invites	Destroy one year from conclusion of event	Business Requirement/ JISC Guidance	Stored in Raiser's Edge and corresponding DARO FileStore events folder

3. Income generation and donations

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
3.1	Administering fundraising projects supported by DARO	Project outlines	Destroy seven years from conclusion of project	Financial Regulations	DARO FileStore
3.2	Donations	Donation forms (paper) Record of donation on Alumni record	Paper forms/remittance advice – destroy seven years from	Financial Regulations Statistical/historic reporting	Tambour unit in DARO store Raiser's Edge

SUBJECT TO REGULAR REVIEW DO NOT USE AFTER 27 09 2025

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
			financial year after donation made Gift records on supporter records – permanent		
3.3	Disbursal of philanthropic funds	Journals and correspondence relating to disbursal of funds	Destroy seven years following end of financial year disbursed in	Business requirement	DARO FileStore

4. Market Research

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
4.1	Planning and administering alumni surveys	Process of designing survey	Destroy one year from creation of survey	Business Requirement/ JISC Guidance	MS Teams Channel
4.2	Analysing the results of alumni surveys	Final report and recommendations for action	Destroy 10 years from conclusion of survey	Business Requirement	Consider offering to Archivist DARO FileStore

5. Governance

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
5.1	Administering official voluntary boards, which are managed by DARO	Agendas Administration Presentations (meetings/AGM) Emails	Destroy two years from meeting	Business Requirement	Stored in Raisers Edge DARO FileStore
5.2	Recording decisions made by voluntary boards	Minutes of Philanthropy Advisory Board	Permanent. Offer to Archives	Business Requirement	DARO FileStore and then transferred to Archives and Special Collections after 5 years

6. Communications

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
6.1	Alumni programme mass e-communications with alumni	Paternoster Event invitations	Destroy three years after communication, unless part of campaign (retain for campaign period)	Business Requirement	DARO FileStore Online Express/Dotmailer
6.2	Departmental e-communications to alumni	Direct Departmental updates	Destroy one year after task completed	Business Requirement	Online Express/Dotmailer
6.3	The process of creating Alumni publications	Draft Articles Draft Proofs Quotes/costs/schedules	Destroy one year from end of administrative use	Business Requirement	MS Teams Channel

SUBJECT TO REGULAR REVIEW DO NOT USE AFTER 27 09 2025

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
6.4	Published alumni publications	Gryphon	Permanent. Offer to Archives	Business Requirement	DARO FileStore; website
6.5	Postal mailing of alumni publications, invitations and letters	Mailing Lists Letter Mail Merges	Destroy after 10 days	Business Requirement	FileDrop

7. Online (website)

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
7.1	Alumni profiles	Webpages - 'alumni through the ages'	Destroy three years after creation (keep relevant information)		Website DARO FileStore Relevant information stored in Raiser's Edge records

8. Prospect Research, Prospect Management and Due Diligence

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
8.1	Prospect Affinity and Capacity Rating (Individuals, Trust and Foundations, Corporates – current prospects)	Affinity A, B, C, D, D+ Capacity 1-10	Retained while current prospect, reviewed and updated at least every three years.	Prioritisation of Major Giving prospect pool	Raisers Edge

SUBJECT TO REGULAR REVIEW DO NOT USE AFTER 27 09 2025

UNIVERSITY OF LEICESTER

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
8.1a	Prospect Affinity and Capacity Rating (not current prospects)	"	Remove from prospect record and anonymise. Retain for three years.		DARO Filestore
8.2	Prospect Proposals / Opportunities	Opportunity / Proposal tab / tile on Raisers Edge	Permanent record retained.	Relationship building, Statistical Analysis	Raisers Edge
8.3	Prospect profiles	Full Profiles Mini Biographies (eg for events) Index Notes	Retained for three years from last review / update while current prospect Reviewed and updated at least every three years. Destroyed as soon as prospect is removed or if older than three years.	Business Requirement	DARO FileStore Full profile (document) Mini Biography (document) Raisers Edge Full profile (record) Index Note
8.4	External Press and Media Clippings	Press & Media Note Type within Raisers Edge 'Notes'	Retained whilst relationship active, deleted within 1 year if not active.	Relationship building, Briefing writing	Raisers Edge
8.5	Due Diligence	Due Diligence Report (Donors/potential donors, potential naming opportunity, honorific nominees, prize awardees,	Retained while active. Destroy after last activity + 7 years	Protecting University reputation	DARO FileStore Due Diligence Report (document) Raiser's Edge Due Diligence Report (record)

SUBJECT TO REGULAR REVIEW DO NOT USE AFTER 27 09 2025

Ref No.	Functional Description	Examples	Retention Period	Justification	Storage Location/Further Information
		proposed volunteer board members)			
	Due Diligence Attributes	Due Diligence Raiser's Edge Attributes (record due diligence decisions)	Destroy five years after creation of attribute		Raiser's Edge
8.6	Prospect Cultivation Administration	Meeting Report Cultivation Plans	Full Report retained while active prospect Report retained for 1 year after removal as prospect Action information (date, action type) retained permanently	Relationship building	Raisers Edge Record uploaded to action 'attachments' DARO FileStore Document stored within individual's folder

SUBJECT TO REGULAR REVIEW DO NOT USE AFTER 27 09 2025