



UNIVERSITY OF
LEICESTER

Records Management Policy

Student and Academic Administration Retention Schedule

Records Management Policy

Version Control and Approval

| Version Number | Comments | Author | Date |
|----------------|---|---|-------------|
| V1.00 | New stand-alone guidance (student related content removed from main university retention schedule) | David Jenkins (Records Manager)/Chris Garrod (Director of Academic Services) | May 2018 |
| V2.00 | Re-formatted, renamed and expanded to include new retention periods based on staff consultation and new guidance from Jisc. | David Jenkins (Records Manager)/Eleanor Jackson (Head of Student Operations) | July 2020 |
| V2.01 | Update to change retention period for assessed work based on updated OfS conditions. | David Jenkins (Records Manager)/Eleanor Jackson (Head of Student Operations) | April 2022 |
| V3.00 | Updated wording around availability of full academic records, re-naming Gown Bursary Scheme, and increasing retention period for enquirer records | David Jenkins (Records Manager)/Eleanor Jackson (Head of Student Registry Services) | August 2022 |

| Version Number | Approved by | Date |
|----------------|--|-------------|
| V1.00 | Chris Garrod (Director of Academic Services) | May 2018 |
| V2.00 | Louise Masterman (Academic Registrar) | July 2020 |
| V3.00 | Nuala Devlin (Academic Registrar) | August 2022 |

Implementation Guidance

Principles to follow

- The majority of information relating to students will be retained in SITS – this information is the core student record and will either be retained permanently or for 6 years (depending on the nature of the information). It is acceptable to store some information locally for operational reasons, however this should be reviewed in line with this retention schedule. In cases where courses are not on SITS then student information will need to be held locally and in line with this retention schedule.
- 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 databases 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.

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Where to go for more information

- For information on data within SITS or issues relating to student records please contact the Students Records team on studentrecords@le.ac.uk
- 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](#).

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1. Applications, admissions and registration records

| Ref No. | Functional Description | Examples | Retention Period | Justification | Storage Location/Further Information |
|---------|-------------------------------|--|--|----------------------|--|
| 1.01 | Prospective student enquiries | Enquiry data; Correspondence; Event booking information | Destroy 6 year last interaction (e.g. completing a form, making an enquiry, booking a recruitment event) | Business Requirement | Admissions (Azorous) <u>Note:</u> personally identifiable information will be anonymised after 5 years |
| 1.02 | Successful applications | UCAS form/application form; interview records; interview notes; tests, offer and acceptance of place | Destroy 6 years from completion of studies | Limitation Act 1980 | Admissions Office / Distance Learning Team and Admissions contacts in School/Department/School of Education/Medical School |

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| Ref No. | Functional Description | Examples | Retention Period | Justification | Storage Location/Further Information |
|---------|--|---|---|------------------------------|---|
| | | | | | <u>Note:</u> personally identifiable data held in Azorus will be anonymised after 6 years and retained for statistical and reporting purposes |
| 1.03 | Unsuccessful applications | UCAS form/application form; interview records; interview notes; tests | Destroy 1 year from end of the annual application cycle | Business Requirement | Admissions Office / Distance Learning Team and Admissions contacts in School/Department <u>Note:</u> personally identifiable data held in Azorus will be anonymised after 1 year and retained for statistical and reporting purposes |
| 1.04 | Un-submitted applications | Un-submitted applications | Destroy 6 months from one year anniversary of application start date | Business Requirement | Admissions Office / Distance Learning Team |
| 1.05 | Appeals against non-acceptance | Appeal files | Destroy 5 years from resolution of case | Business Requirement | Admissions Office / Distance Learning Team |
| 1.06 | Establishing and monitoring the right to study | Right to study documentation (Tier 4) | Destroy 6 years from last interaction with student | OISC Code of Standards: 2016 | Student Immigration Advice and Compliance |
| 1.07 | Assessing the suitability of candidates for particular courses | DBS data | Destroy 6 months from end of recruitment | Business Requirement | Admissions Office |
| 1.08 | High level management and organisation of student recruitment campaigns and events (excluding personal data) | Planning documents Publicity | Destroy 5 years from end of the current academic year/offer to Archives and Special Collections | Business Requirement | External Relations |

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2. Individual academic records

| Ref No. | Functional Description | Examples | Retention Period | Justification | Storage Location/Further Information |
|---------|--|--|--|----------------------|---|
| 2.01 | Full student academic records and key records relating to registration and academic performance | Periods of study; programme(s) of study; modules studied; degree and module marks, outcome; pass/award lists and final award; student awards and prizes; detailed course transfers; withdrawal, suspension, conduct; termination of studies; HEAR etc. | Permanent | Business Requirement | <p>Majority of records will be held by Student and Academic Services in SITS. Where no SITS records exist information will be retained by the Schools/Departments. Data on PGR students will be held within MyPGR. Some historical records may be transferred to Archives and Special Collections</p> <p><u>Note:</u> full academic records (including transcript data) are only available since the implementation of SITS. The availability of full academic records will vary based on the year of completion of studies and the programme of study; therefore, it may not be possible to provide detailed records in all instances.</p> |
| 2.02 | Additional student data collected as part of studies but not part of key records including information on supervision, training etc. | VISA information; health related information; family information etc. | Destroy 6 years from completion of studies | Business Requirement | <p>Student and Academic Services (SITS)</p> <p><u>Note:</u> Some courses (such as Medicine) may choose to retain</p> |

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| Ref No. | Functional Description | Examples | Retention Period | Justification | Storage Location/Further Information |
|---------|--|--|--|------------------------------|---|
| | | | | | some student data for longer due to sector regulatory requirements. |
| 2.03 | Student attendance information | Attendance Monitoring System data | Destroy 6 years from completion of studies | OISC Code of Standards: 2016 | Student Immigration Advice and Compliance |
| 2.04 | Successful nominations for visiting exchange students (Study Abroad/Erasmus) | Nominations | Destroy 6 years from completion of studies | Business Requirement | Future Students Office |
| 2.05 | Unsuccessful nominations for visiting exchange students (Study Abroad/Erasmus) | Nominations | Destroy 1 year from application | Business Requirement | Future Students Office |
| 2.06 | Departmental student administration | Local student databases; supervisory notes | Destroy 3 years from completion of studies | Business Requirement | Schools/Departments |
| 2.07 | Administering the Research Passports progress | Research Passports | Destroy 3 years from expiry of research passport | Business Requirement | Schools/Departments |

3. Assessment and examination (inc. placements)

| Ref No. | Functional Description | Examples | Retention Period | Justification | Storage Location/Further Information |
|---------|------------------------|---|---|----------------------|--|
| 3.01 | Assessed student work | Projects and reports, all years/levels/ undergraduate and masters dissertations | Destroy 5 years from completion of programme. | Business Requirement | Schools/Departments / Distance Learning Team <u>Note:</u> In some cases substantive pieces of coursework may be |



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| Ref No. | Functional Description | Examples | Retention Period | Justification | Storage Location/Further Information |
|---------|--|---|--|----------------------|--|
| | | | <u>Note:</u> If the programme/module is externally accredited this retention period may increase. Please check with the School/Department. | | retained for longer periods (i.e. as a model example, or where there is significant academic value) - this must be agreed in advance with the student <u>Note:</u> Engineering programmes must retain assessment data for the previous 3 years) |
| 3.02 | Examination scripts - where the examination does contribute to final degree mark | Examination scripts | Destroy 5 years from completion of programme | Business Requirement | Schools/Departments / Distance Learning Team (including off-site storage in some instances) |
| 3.03 | Examination scripts - where the examination does not contribute to final degree mark | Examination scripts | Destroy 5 years from end of current academic year | Business Requirement | Schools/Departments / Distance Learning Team (including off-site storage in some instances) |
| 3.04 | Unfair means cases | Correspondence and records relating to the identification of unfair means cases | Destroy 1 year from end of current academic year | Business Requirement | Timetabling and Examinations, Distance Learning Team, correspondence in School and Department offices <u>Note:</u> documentation relating to examination misconduct offences must be retained as per the handling and outcomes of disciplinary procedures against individual students, see section 5. |



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| Ref No. | Functional Description | Examples | Retention Period | Justification | Storage Location/Further Information |
|---------|--|---|--|----------------------|---|
| 3.05 | Recording marks for each student for each module and to confirm this to the Student Record Team (Panels) | Chairs Actions and Minutes Panel Reports | 6 years from end of academic year | Business Requirement | Schools/Departments |
| 3.06 | Recording awards or progression decisions for each student in order to update SITS and allow results to be released to students (Boards) | Chairs Actions and Minutes Board Reports | Permanent | Business Requirement | Student and Academic Services |
| 3.07 | PhD Research Theses | Theses | Permanent | Business Requirement | Library |
| 3.08 | Mitigating circumstances claim documentation and decisions | Claims, trackers, supporting evidence | Destroy 1 years from completion of studies | Business Requirement | Quality Office, Distance Learning Team, Schools/Departments |
| 3.09 | Risk assessment for student activities | Risk Assessment Forms for lab working, field trips, placements | Destroy 6 years from completion of studies | Business Requirement | Schools/Departments |
| 3.10 | Monitoring and administering students on placements (linked to degree award) | Attendance Checks; Monitoring progress; Assessments; Feedback | Destroy 6 years from completion of studies | Business Requirement | Careers |
| 3.11 | Monitoring and administering students on placements (not linked to degree award) | Monitoring progress; Feedback | Destroy 3 years from completion of placement | Business Requirement | Careers Schools/Departments |

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4. Administering examinations

| Ref No. | Functional Description | Examples | Retention Period | Justification | Storage Location/Further Information |
|---------|---|---|---|----------------------|---|
| 4.01 | Management and administration of examinations (inc.Vivas) | Examination attendance sheet; special examination arrangements; medical assessments for special arrangements; application to sit written examination overseas | Destroy 1 years from end of current academic year | Business Requirement | Timetabling and Examinations, Student Records (DCO), Distance Learning Team |
| 4.02 | Records documenting the appointment and selection of external examiners | Examiner recruitment applications and assessment | Destroy 1 year from termination of role | Jisc Recommendation | Quality Office Doctoral College Office |
| 4.03 | Business correspondence with external examiners | Correspondence | Destroy 1 year from termination of role | Jisc Recommendation | Quality Office, Doctor College Office, Schools/Departments |
| 4.04 | Records documenting the selection and appointment of examination invigilators | Invigilator recruitment applications and assessment | Destroy 1 year from end of current academic year | Business Requirement | Timetabling and Examinations |

5. Appeals, complaints, and discipline

| Ref No. | Functional Description | Examples | Retention Period | Justification | Storage Location/Further Information |
|---------|--|---|------------------------------------|---------------------|---|
| 5.01 | Handling and outcomes of disciplinary procedures against individual students | Disciplinary proceedings, plagiarism cases, unfair means outcomes letters etc | Destroy 6 years from last activity | Limitation Act 1980 | Quality Office and correspondence in Schools/Departments/ Professional Services |



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| Ref No. | Functional Description | Examples | Retention Period | Justification | Storage Location/Further Information |
|---------|--|--|------------------------------------|--|---|
| 5.02 | Records relating to the handling and results of academic appeals by individual students. | Appeals; Decisions | Destroy 6 years from last activity | Limitation Act 1980 | Quality Office and correspondence in Schools/Departments |
| 5.03 | Records relating to the handling and results of formal complaints by individual students. | Complaint files (formal) Student Complaints received by OIA | Destroy 6 years from last activity | Limitation Act 1980 | Quality Office and other areas handling non-academic complaints |
| 5.04 | Records relating to the handling and results of informal complaints by individual students | Complaint files (informal) | Destroy 3 years from last activity | Business Requirement | Schools/Departments |
| 5.05 | Handling and outcomes of fitness to practice procedures against individual students | Decisions; Case notes | Permanent | Business Requirement – informed by requirements of Professional, Statutory and Regulatory Bodies | Schools/Departments |

6. Student welfare and support services (academic and non-academic)

| Ref No. | Functional Description | Examples | Retention Period | Justification | Storage Location/Further Information |
|---------|--|---|------------------------------------|----------------------|--|
| 6.01 | Supporting student welfare and accessibility needs | Student case files, appointments, discussion notes, correspondence, evidence of disability/injury | Destroy 6 years from last activity | Business Requirement | Student Welfare, Counselling, AccessAbility. |

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| Ref No. | Functional Description | Examples | Retention Period | Justification | Storage Location/Further Information |
|---------|---|--|---|---|--------------------------------------|
| 6.02 | Safeguarding data | Cause for Concern Group Case Reports; Incidents | Destroy 6 years from last action | Business Requirement | Student Support Service, CoreNet |
| 6.03 | Student Bursary data | Bursary data | Destroy 6 years from end of bursary | Financial Regulations | Student Support Service |
| 6.04 | SLC Appeals | Evidence submitted to Student Welfare Service in order to facilitate loan appeal process | Destroy 6 years resolution of appeal | Business Requirement | Student Support Service |
| 6.05 | Supporting students seeking careers advice | Student Files, appointments, aptitude tests, practice interview records | Destroy 3 years from last contact | Business Requirement, Jisc Recommendation | Careers |
| 6.06 | Advertisement offering for employers | Student CVs, job application forms, personal statements | Destroy 3 months from last activity | Business Requirement | Careers, Registry |
| 6.07 | Providing volunteering opportunities to students | Student details of those involved in placements; demographic reporting | Destroy 3 years from end of current academic year | Business Requirement | Student Participation and Engagement |
| 6.08 | Learning support for students with specific needs | Student consultation notes; appointments | Destroy 3 years from last contact | Business Requirement | Academic Skills Centre |

7. Graduation

| Ref No. | Functional Description | Examples | Retention Period | Justification | Storage Location/Further Information |
|---------|---|--------------------------------|--------------------------------------|----------------------|--|
| 7.01 | Records relating to the organisation of award ceremonies. | Operational planning documents | Destroy 1 year from date of ceremony | Business Requirement | Student Services Centre, Student Records, Events |



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| Ref No. | Functional Description | Examples | Retention Period | Justification | Storage Location/Further Information |
|---------|---|---|--------------------------------------|-----------------------|--|
| 7.02 | Records relating to the production of award ceremonies | Programmes; Copies of speeches and orations | Permanent. Offer to Archives | Business Requirement | Student Services Centre Archives and Special Collections |
| 7.03 | Records relating to the production, collection and mailing of award certificates. | Award certificates | Destroy 1 year from date of ceremony | Business Requirement | Student Services Centre, Student Records, Events |
| 7.04 | Arranging the Graduation Hardship Fund | Fund applications | Destroy 6 years from end of bursary | Financial Regulations | Student Welfare Service |

8. Programme and module administration

| Ref No. | Functional Description | Examples | Retention Period | Justification | Storage Location/Further Information |
|---------|---|--|--|----------------------|--------------------------------------|
| 8.01 | Routine module/programme administration | Class/tutorial lists Student Attendance forms Course assessment registers | Destroy 1 year from end of the year the programme/module ran | Business Requirement | Schools/Departments |
| 8.02 | The process of approving or modifying programmes of study | Programme Approval Forms and documentation; Programme Modification Forms; Curriculum Change records | Destroy 10 years from date of creation | Business Requirement | Quality Office |
| 8.03 | Assessing the quality of teaching (informal and external reviews) and responding to those assessments | External reviews; Formal student feedback | Destroy 5 years from end of current academic year | Jisc Recommendation | Schools/Departments |



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| Ref No. | Functional Description | Examples | Retention Period | Justification | Storage Location/Further Information |
|---------|---|------------------------|--|---------------------------------|--|
| 8.04 | The process of obtaining external accreditation of a programme/module | Accreditation evidence | Destroy 5 years from last assessment visit | Accrediting bodies requirements | Schools/Departments <u>Note:</u> Student Assessment data should be retained as per section 3.01 |