Student and Academic Administration Retention Schedule

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

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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 by 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no longer 'current' (for example when a student has completed their studies with the University then their records are no longer active and can be reviewed).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 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.

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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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Records Management Policy

Contents

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) Note: 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
					Note: 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 Note: 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	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 Note: 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.
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	Student and Academic Services (SITS) Note: Some courses (such as Medicine) may choose to retain

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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 Note: 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
			Note: 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 Note: 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 Note: 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 Note: Student Assessment data should be retained as per section 3.01