11 STUDENT AND COURSE RECORDS

University Retention Schedule

Contents

11 Student and Course Records

11.1.   Admissions

11.1.1.   Administration of Admissions

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	DSAA ADMISSIONS RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Course entry requirements: Home	E	End of academic year	2 years	Delete			ACID – module linked to SITS	Pre-May 2023: DCL spreadsheet & ERDB Access database	Web / UCAS	DP CC IP Pres
Course entry requirements: International	E	End of academic year	2 years	Delete			ACID – module linked to SITS	Pre-May 2023: DCL spreadsheet & ERDB Access database		DP CC IP Pres
Enquiries from prospective students	E	End of academic year	1 year	Delete	JISC recommendation	It is very rare to receive physical letters, but these would be scanned in and the original confidentially disposed.	Email or CRM	N/A	Not published	DP CC IP Pres

11.1.2. Admissions Records

For example: application forms, references, transcripts of entry qualifications, copies of certificates, offer letters, responses, visa letters (Confirmation of Acceptance for Studies).

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	DSAA ADMISSIONS RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Applicants who are offered a place, accept and enrol	E	Graduation or withdrawal	6 years	Delete	To ensure information is available in case of enquiries, audits, disputes or litigation; Limitation Act 1980; JISC recommendation; Common practice within higher education; UKVI requirements	Forms part of the Student Record	SITS System (degree apprentices original docs stored in APTEM, but data moved to SITS)	N/A	Not published	DP CC IP Pres
Applicants who are offered a place, but do not attend (CAS and non-CAS)	E	End of academic year	1 year	Delete	To ensure information is available in case of enquiries, audits, disputes or litigation. Time limits for legal action by applicants are specified by the Employment and Training Regulations S.I. 2003/1660, S.I. 2003/1661, S.I. 2006/2930. Tier 2, Tier 4, Tier 5 of the Points Based System – Guidance for Sponsors Appendix D – Keeping Documents (version 10/19)	For example: applicants who withdraw, decline, fail to meet the entry requirements, fail to enrol.	SITS system (degree apprentices original docs stored in APTEM, but data moved to SITS)	N/A	Not published	DP CC IP Pres
Applicants who are not offered a place and/or withdraw their application	E	End of academic year	1 year	Delete	JISC recommendation		SITS system (degree apprentices original docs stored in APTEM, but data moved to SITS)	N/A	Not published	DP CC IP Pres

11.1.3. Recognition of Prior Learning

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	FACULTIES RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Claim forms, assessments, evidence	P/E	Graduation or withdrawal	6 years	Destroy	To ensure information is available in the event of a dispute or complaint; Recognition and Accreditation of Prior Learning Policy, Procedures and Guidance. Limitation Act 1980 JISC recommendation	Forms part of Student File NB: It may not be practical to scan in large portfolios of evidence. If so, a note should be kept as to where to find the physical portfolio.	SITS system	Various eRecords System (for students who attend UoP)	Not published	DP CC IP Pres

11.1.4. Points Based Immigration System

Workers, Temporary Workers and Students: guidance for sponsors, Appendix D: keeping documents - October 2021, states:

Unless otherwise stated in this guidance, all documents relating to a worker or Student whom you sponsor must be kept throughout the period that you sponsor them and until whichever is the earlier of:

- *one year has passed from the date on which you end your sponsorship of the worker or Student; or*
- *the date on which a compliance officer has examined and approved them, if this is less than one year after you ended your sponsorship of the worker or student*

In addition to the documents set out in this Appendix, you must also keep the documents you provided as part of your application to become a licensed sponsor. You must keep this information for as long as you hold a sponsor licence. You may need to retain some documents specified in this appendix for other purposes (for example, to comply with legislation on preventing illegal working) and for longer periods of time. You must ensure that you meet any other legal requirements for record keeping, such as ones set either by us or another government department.

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	DSAA RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Documents required for compliance with the University's Tier 4 sponsor duties (Students)	E	Graduation / Withdrawal	6 years	Delete	Workers, Temporary Workers and Students: guidance for sponsors Appendix D: keeping documents (version 10/21) OISC	UoP retains UKVI records in line with the retention period for the student file and therefore is compliant with the above requirement.	SITS System			DP CC IP Pres
Documents required for compliance with the University's Tier 1 sponsor duties (Graduate Entrepreneur)	P/E	End of sponsorship	1 year	Destroy	Workers, Temporary Workers and Students: guidance for sponsors Appendix D: keeping documents (version 10/21)					DP CC IP Pres
Records regarding assessments for fees for international students	P/E	Graduation / Withdrawal	6 years	Destroy	Moved to SITS which has limited retention periods		SITS System			DP CC IP Pres

11.1.5. Disclosure and Barring Records

Formerly Criminal Records Bureau records. Under Disclosure and Barring the University no longer receives disclosure forms. Criminal Conviction records must be managed in accordance with the DBS Code of Practice. Retention schedules for this can now be found in **Retention Schedule – 08 Risk Management > Disclosure and Barring**.

11.2. Registration and Invoicing

Invoicing is undertaken in the Student Record System (SITS), after which the HE invoice number and debt interfaces into the Finance System. It is therefore subject to **Retention Schedule – 05 Finance**. This section deals solely with additional records, generated by DSAA in support of registration and invoicing.

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	DSAA RETENTION PERIOD	EMPLOYABILITY RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Records documenting liaison with external bodies	E	Graduation or withdrawal	6 years		Delete	Limitation Act 1980	For example: SLC, BIS	SITS system	SCMS	Not published	DP CC IP Pres
Documents relating to withdrawal, transfer, study break, repeat notifications and tuition fee amendments	P/E	End of academic year	6 years		Destroy	Limitation Act 1980 JISC recommendation		SITS system	eRecords System (from 2015)	Not published	DP CC IP Pres
Sponsor forms and letters	P/E	End of academic year	6 years		Destroy	Limitation Act 1980	NB: Paper files are currently scanned to K:drive and then moved to eRecords	eRecords System (from 2015)	K:drive	Not published	DP CC IP Pres
US Direct Loans support paperwork	P/E	End of academic year	6 years		Destroy	Limitation Act 1980	NB: Student paper files are saved in the K:drive, hard copy files are stored locally for audits and then sent to archive	K:drive	FileStore	Not published	DP CC IP Pres
Degree Apprentices - European Social Funding (ESF) records	E	End of calendar year 2030		n/a	Delete	ESF audit requirement	NB: this schedule only relates to a small number of degree apprentices funded by the ESF 2014-2020. These records are stored in a separate degree apprenticeship file in eRecords and are flagged with the "non-levy" metadata field.	eRecords	n/a	Not published	DP CC IP Pres
Degree Apprentices – other funding	E	End of study		6 years	Delete			eRecords	n/a	Not published	DP CC IP Pres

11.2.1.   Bursaries, Sponsorships and Funds

Financial awards made to students to cover all, or part, of their tuition fee and occasionally other costs as well. This money may be paid directly to the student, or deducted from their fees. Currently UoP has many such schemes, managed by various departments including Student Finance, DSAA, Global and the faculties. **NB:** this section should not to be confused with other types of financial support provided by the Student Finance Centre – see **Schedule 9.12 – Student Finance**.

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	MANAGING DEPT RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Records relating to the set-up, closure and administration of such schemes	P/E	Cessation of scheme	6 years	Destroy	Limitation Act 1980 JISC recommendation					DP CC IP Pres
Applications	P/E	Graduation / Withdrawal	6 years	Destroy	Limitation Act 1980	Forms part of the student record/file	SITS system	SCMS / eRecords	Not published	DP CC IP Pres

11.3.   Student Records and Files

11.3.1.   Student Records

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	DSAA RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Student records	E	Graduation or withdrawal	6 years	Extract transcript data† and delete the rest of the entry	To ensure information is available in case of enquiries, audits, requests for references, disputes or litigation; Limitation Act 1980; JISC recommendation; Common practice within higher education.	†See Transcript and Validation records below.	SITS System	N/A	Not published	DP CC IP Pres

11.3.2. Student Files

Files relating to students enrolled from October 2006 onwards should be required for no longer than six years after their graduation or withdrawal (since transcript data is to be held separately). If student files relating to the years 1995–2006 exist and are the only source of transcript data, departments must either extract the data or preserve the files in their entirety. If files have survived that predate 1995 and contain transcript data, it is for each department to decide whether to retain the files (or the extracted data) in order to provide a transcript service for past students.

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	FACULTIES RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Student files 2006 onwards	P/E	Graduation or withdrawal	6 years	Extract transcript data† and destroy the rest of the file	To ensure information is available in case of enquiries, audits, requests for references, disputes or litigation; Limitation Act 1980; JISC recommendation; Common practice within higher education.	†See Transcript and Validation records below. However, most transcript and validation data now held centrally on student records system, so does not need to be retained	TBD	eRecords System Pre-2014: FileStore, local filing or K:drive	Not published	DP CC IP Pres
Student files pre-2006	P	N/A	N/A	Extract transcript data† and destroy the rest of the file	To supply transcripts	†See Transcript and Validation records below	N/A	FileStore or local filing	Not published	DP CC IP Pres

11.3.3. Transcripts, Parchments and Validation Records

JISC recommends that this data be held permanently. However, these records are unlikely to be of value to the University or the individual more than 80 years after graduation or withdrawal. A selection of this information may be considered for archiving as part of the University's historical record.

NB: HEMIS was decommissioned in 2016 following risk assessment, but data required for the provision of transcripts and validation was extracted and is still available to key roles in DSAA.

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	DSAA RETENTION PERIOD	FACULTIES RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Conferment of awards (UP6/CAC)	P/E	Graduation or Withdrawal	80 years		Destroy or Archive	To confirm award / attendance and prevent fraudulent claims JISC recommendation	Electronic versions are held on SITS. If manual amendments are made, these are retained separately b	SITS System	CD-Rom (images of microfiche) & physical books (1930-1992)		DP CC IP Pres
HEAR documents	E	Graduation or Withdrawal	80 years		Delete or Archive	To be available to the student during their natural lifetime JISC recommendation	Likely to be transferred to the new student portal as part of the digital award programme	HEAR Portal	N/A	HEAR portal	DP CC IP Pres
Transcript data	E	Graduation or Withdrawal	80 years	80 years	Delete or Archive	To supply transcripts JISC recommendation	Responsibility for retention: DSAA, if data is held within Student Records or HEMIS archive; Departments, if data is held separately from HEMIS or predates its introduction.	SITS System	Paper files. All electronic transcript data has	Not published	DP CC IP Pres

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	DSAA RETENTION PERIOD	FACULTIES RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
									been transferred to SITS servers		
Parchments	P	Graduation or Withdrawal	6 years*		Destroy or Archive	To ensure parchments are available, if requested	* Unless parchment is pre-HEMIS, in which case retain for 80 yrs, as it cannot be reproduced				DP CC IP Pres
Summary of placement and training data	P/E	N/A	??	80 years	Destroy or Archive	To verify training or placement details of former students JISC recommendation	For example: Dates of placement/training; name and address or employer/trainer; summary of work undertaken See also Schedule 8 – Risk Records > 8.6.6.2 Student Placements	Various (incl Skills Forge, Student Records System, K:drive)	Various (PBS pre-2011 – Pinesoft)	Not published	DP CC IP Pres
Records of parchment posting	P/E	End of academic year	1 year		Destroy						DP CC IP Pres
Parchment and validation requests	P/E	Date of provision	1 year		Destroy		For example: emails and letters	Email			DP CC IP Pres
Fitness for practice records	P/E	Graduation or Withdrawal		6 years†	Destroy	Limitation Act 1980	Documentation concerning the fitness for practice of students who are registered on programmes leading to professional qualifications or entry into professions (e.g. teaching, social work, health). †Unless longer retention is required by the professional accrediting body.	TBD	eRecords System (from 2014 to 2020) Lifelong Learning divider	Not published	DP CC IP Pres

11.3.4. General Misconduct

Where allegations of misconduct relate to research, this is handled by the Executive Director of Corporate Governance for both students and staff.

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	FACULTIES RETENTION PERIOD	DSAA RETENTION PERIOD	DIRECTORATE RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Major disciplinary cases	P/E	Last action on case or Graduation / Withdrawal*	6 years	6 years	6 years	Destroy	Limitation Act 1980; JISC recommendation	* whichever is the longer Forms part of Student File Records of misconduct will not be disclosed on student references unless directly pertinent to the reason for the reference	DSAA filing cabinet or Corporate Governance filing cabinet	FileStore	Not published	DP CC IP Pres
Fitness to study cases	P/E	Last action on case or Graduation / Withdrawal*	6 years	6 years	6 years	Destroy	Limitation Act 1980; JISC recommendation	* whichever is the longer Forms part of Student File Records of fitness to study will not be disclosed on student references unless directly pertinent to the reason for the reference	DSAA filing cabinet or Corporate Governance filing cabinet	FileStore	Not published	DP CC IP Pres
Minor disciplinary cases	P/E	Graduation / Withdrawal	6 years			Destroy		* whichever is the longer Forms part of Student File Records of misconduct will not be disclosed on student references unless directly pertinent to the reason for the reference	TBD	FileStore, local filing or K:drive eRecords System (2014-2020)	Not published	DP CC IP Pres
Reprimand letters	P/E	Expiry of reprimand	N/A	N/A	N/A	Destroy	Time limit for each reprimand is set at the point of issue				Not published	DP CC IP Pres

11.4. Development and Supervision Records

NB: For risk assessments relating to field trips, see **Retention Schedule – 08 Risk Management > Health and Safety Records**.

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	FACULTIES RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Tutorial records	P/E	Graduation or Withdrawal†	6 years	Destroy	To ensure information is available in the event of a dispute or complaint; Limitation Act 1980; Personal Tutor Handbook (section 2.11)	Forms part of the student file † If tutorial records are not kept in a way which will permit management by graduation/withdrawal, retention should begin when the academic's tutor relationship with the student ends.	SITS system	eRecords System (2014-2020) or with academics		DP CC IP Pres
Supervision records	P/E	Graduation or Withdrawal	6 years	Destroy	To ensure information is available in the event of a dispute or complaint; Limitation Act 1980; Code of Practice for the Assessment of Students JISC recommendation	Forms part of the student file	TBD	eRecords System (2014-2020) or with academics		DP CC IP Pres
Student data managed via the University of York's Skills Forge database	P/E	Graduation or Withdrawal	6 years	Destroy	Limitation Act 1980	Forms part of the student file	Skills Forge			DP CC IP Pres
Personal Development Plans	P/E	Graduation or Withdrawal	6 years	Destroy	To ensure data is available for providing references; PDP Tutor Information Pack; QAA Guidelines for HE Progress Files JISC recommendation	Forms part of the student file	TBD	eRecords System (2014-2020) or returned to student if part of coursework		DP CC IP Pres
Attendance Monitoring Records	E	End of Academic Year	6 months	Delete	To ensure information is available in the event of query or dispute; To confirm a satisfactory attendance record Student Attendance & Engagement Policy 2015 JISC recommendation	Attendance records for Tier 4 visa students are transferred onto the Student Records System for further retention in compliance with UKVI requirements (see **11.1.4 – Points-Based Immigration System**, above)	SAM System		Google drive or Paper	DP CC IP Pres
Engagement Monitoring Records	E	End of Academic Year	6 months	Delete	Student Attendance & Engagement Policy 2015 JISC recommendation		SEM System		N/A	DP CC IP Pres

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	FACULTIES RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Records of action taken as a result of a student reaching the attendance trigger point	E	Graduation or Withdrawal	6 years	Delete	Student Attendance & Engagement Policy 2015 JISC recommendation	Forms part of the student file	eRecords System			DP CC IP Pres
Progress reports for overseas students	P/E	Graduation or Withdrawal	6 years	Destroy	JISC recommendation	Forms part of the student file	eRecords System (since 2014)	K:drive or local filing		DP CC IP Pres

11.4.1. Placements & Volunteering

This section covers all placements (industrial, workplace, academic, or volunteering), whether they be a mandatory part of the student's award / professional qualification; an optional part of the course, or proactively requested as personal development / HEAR activity. Where the placement is part of the award, professional qualification or HEAR, a summary will need to be retained, as per section **11.3.3 – Transcripts, Parchments & Validation Record**s (above).

NB: For risk assessments relating to placements, see **Retention Schedule – 08 Risk Management > Health and Safety Records**.

NB: For contractual records relating to placements, see **Retention Schedule – 10 Strategy & Governance > Contracts and Licences**.

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	FACULTIES RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
CVs and application handling	P/E	End of the academic year	N/A	Destroy	To provide a service to organisations providing placement opportunities	A student may apply for numerous placements before being accepted. Applications should go straight from the student to the placement provider. However, it is acknowledged that UoP sometimes facilitates this process for the benefit of the provider. For this reason, UoP should not retain this personal data beyond the facilitation of the application processes for the year.	SITS system			DP CC IP Pres
Placement, training & volunteering records	P/E	Graduation or Withdrawal	6 years*	Destroy	To ensure information is available in the event of a dispute or complaint; Limitation Act 1980	Includes individual student info for Erasmus/Turing placements. Forms part of the student file *NB: a summary of this data should be retained for transcript purposes (see **11.3.3** above)	eRecords System (since 2014), Target Connect system, or K:Drive			DP CC IP Pres
Expressions of interest for placements & internships	P/E	Graduation or Withdrawal	N/A	Destroy	Students are eligible for these vacancies throughout the duration of their studies					DP CC IP Pres

11.5.   Student References

It is advisable to restrict the length of time for which departments will provide references for their former students. A referee owes a duty of care both to the subject of the reference and the recipient to provide accurate information and may be liable for damages if loss is caused through negligent misrepresentation. With the passage of time, ensuring the accuracy and completeness of a reference may become problematic and, for this reason, JISC recommends that student records are not used to provide references beyond six years after graduation or withdrawal. DSAA can only provide "Educational Verification" references for alumni. However, as this is a report drawn from the Student Records System, it is not retained after production. Providing a reference is not the same as providing transcript data.

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	FACULTIES RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
References provided prior to graduation/withdrawal	P/E	Graduation/Withdrawal	6 years	Destroy		Forms part of the student file	eRecords System (since 2014)	K:drive or local filing		DP CC IP Pres
References provided after graduation/withdrawal	P/E	Date of issue	1 year	Destroy	Limitation Act 1980		eRecords System (since 2014)	K:drive or local filing		DP CC IP Pres

11 Student and Course Records

11.6. Assessments

11.6.1. Administration of Assessments

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	FACILITIES RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Coursework assignments; marking criteria; marking schemes; model answers and submission deadlines	E	End of academic year	9 years†	Delete	OfS requirement – Condition B4 To ensure information available for internal and external audit; Module Management Handbook (Annex A) Forms part of the Module File	NB: If stored separately from Module Files, a note of their location should be made on the relevant Module File, so that they can be easily located †Unless professional bodies require a longer retention period	VLE	K:drive	Made available to students via VLE	DP CC IP Pres
Examination question papers	E	End of academic year	9 years†	Delete	OfS requirement – Condition B4 To ensure information available for internal and external audit; Module Management Handbook (Annex A) Forms part of the Module File	NB: If stored separately from Module Files, a note of their location should be made on the relevant Module File, so that they can be easily located †Unless professional bodies require a longer retention period	eRecords System or K:drive	K:drive	Past papers made available to students & external examiners via VLE or Google	DP CC IP Pres
Registers for the submission of coursework	E	End of academic year	6 years	Delete	Limitation Act 1980 QAA audit 2015 - recommendation	These records should include the exact date on which each student handed in their coursework	Various (including Turnitin, K:drive, Google Drive)	K:drive	Not published	DP CC IP Pres
Examination administrative records	E	End of academic year	6 years	Deletey	Limitation Act 1980 QAA audit 2015 - recommendation	For example: examination timetables, attendance records, appointments of invigilators, invigilation reports (if held)	K:drive, Google Drive	N/A	Not published	DP CC IP Pres

11.6.2. Assessed Work

From May 2022 the OfS have introduced a new Condition to B4 which requires the extended retention of assessments. For more information see the FAQs.

Departments should ensure that assessed work is held long enough to allow students a reasonable opportunity to collect it, and they must inform them that there will be a time limit for retrieving their work, after which it will be confidentially destroyed. The retention period for assessed work must be extended appropriately in the case of students who are likely to have difficulty in reclaiming their work on time (e.g. students who are on placements or abroad for a year). In addition, departments should ensure that they have clearly defined policies for managing the retention and return of any ancillary materials that are submitted in support of projects or dissertations: e.g. questionnaires, transcripts of interviews, consent forms, copies of ethical approval forms, and raw research data (stored on CDs, DVDs, videos etc.). Students may be provided with/retain a copy of the research data they generate; however, if the research contains personal, sensitive or confidential data, the student may only be permitted to keep a copy of such data, if a) the ethical consent form clearly permits the data to be held by the student, or b) the data can first be anonymised or redacted to remove any personal, sensitive or confidential data. This covers research for undergraduate and postgraduate taught course assessments. All other academic research carried out by staff and for postgraduate degrees by research (e.g. research Masters theses (MPhil, MRes) and doctoral-level research) is covered by **Retention Schedule – 7 Project Records > 7.3.2 - Research & Innovation Data and Related Project Documentation**.

The Intellectual Property (IP) policy covers legal ownership.

Students should be made aware that, once they have collected their physical assessment artefacts, they are responsible for keeping them for one year, and must return them (together any relevant feedback) unaltered in the event of an appeal or an external examiner requiring further copies.   However, for PHD students the coursework is kept by the University.
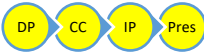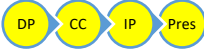
Some departments have a practice of retaining additional copies of students' work (or transferring them to the University Library), so that they can serve as a resource for other students. In these cases, the material should be reviewed periodically to assess whether its continued retention is necessary.

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	FACULTIES RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Digital assessed work – prior to May 2022	E	End of academic year	3 years†	Delete	To ensure work is available in the event of a query or dispute; To meet requirements of External Examiners; Internal and external audits/reviews; To ensure maintenance of standards over time; To induct new staff into assessment procedures; Code of Practice for the Assessment of Students	† In the event of an appeal/complaint, the work (or a copy) should also be retained until all appeal/complaint procedures (both internal and external) have been exhausted.	VLE, Turnitin, ePortfolios	N/A	Not published	DP CC IP Pres
Digital assessed work - from 1st May 2022 (includes samples)	E	End of academic year	9 years†	Delete	OfS requirement – Condition B4 To ensure work is available in the event of a query or dispute; To meet requirements of External Examiners; Internal and external audits/reviews; To ensure maintenance of standards over time; To induct new staff into assessment procedures; Code of Practice for the Assessment of Students	† In the event of an appeal/complaint, the work (or a copy) should also be retained until all appeal/complaint procedures (both internal and external) have been exhausted.	VLE, Turnitin, ePortfolios, Wiseflow	N/A	Not published	DP CC IP Pres
Physical assessed work – uncollected exam scripts, coursework & projects	P	Confirmation of result by Board of Examiners	3 months†	Dipsose	To ensure students have a reasonable opportunity to collect their work; To ensure work is available in the event of a query or dispute; Code of Practice for the Assessment of Students	† In the event of an appeal/complaint, the work (or a copy) should also be retained until all appeal/complaint procedures (both internal and external) have been exhausted.	N/A	N/A	Not published	DP CC IP Pres

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	FACULTIES RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Physical assessed work – samples	E	Graduation of cohort	5 years	Delete	OfS requirement – Condition B4 To meet requirements of External Examiners; Internal and external audits/reviews; To ensure maintenance of standards over time; To induct new staff into assessment procedures;	Should be held as digital representations so that the original can be returned to the student. For more information, please refer to the FAQs (linked above). Samples should cover a range of good, average and poor student work.	TBD	N/A	Not published	DP CC IP Pres

11.6.2.1.　　Dissertations Made Available to Other Students

All dissertations that are available via the Library database have GDPR compliant consent.

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	LIBRARY RETENTION PERIOD	DEPTS RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Dissertations on the eDissertations database	E	Date added to the database	10 years		Delete	GDPR & Data Protection Act 2018		eDissertations database	N/A	eDissertations database	DP CC IP Pres
Dissertations held locally for sharing with other students	P/E	Date made available		10 years†	Destroy	GDPR & Data Protection Act 2018	Not to be confused with samples retained for External Examiner purposes (see **11.6.2**). † Depts wishing to keep dissertations for longer than 10 years must obtain specific consent from the student.				DP CC IP Pres

11.6.3.　Postgraduate Degrees

11.6.3.1.　　Taught Masters

Records pertaining to taught masters degrees should be managed in accordance with the schedules for under-graduate courses (see **11.6.2 Assessed Work**, above). Students may be provided with/retain a copy of the research data they generate; however, if the research contains personal, sensitive or confidential data, the student may only be permitted to keep a copy of such data, if a) the ethical consent form clearly permits the data to be held by the student, or b) the data can first be anonymised or redacted to remove any personal, sensitive or confidential data.   The Intellectual Property (IP) policy available in the Document Warehouse covers legal ownership.

11.6.3.2.　　Research Degrees

The Intellectual Property (IP) policy covers legal ownership. Students may be provided with/retain a copy of the research data they generate; however, if the research contains personal, sensitive or confidential data, the student may only be permitted to keep a copy of such data, if a) the ethical consent form clearly permits the data to be held by the student, or b) the data can first be anonymised or redacted to remove any personal, sensitive or confidential data.   Generic guidance on the retention of research data supporting published research can be found in **Retention Schedule – 7 Project Records > 7.3.2 - Research & Innovation Data and Related Project Documentation**.

Completed theses are to be sent to the University Library in PDF format. If the thesis is confidential, it should be retained until the period of confidentiality has elapsed before transfer to the University Library. Newly-submitted theses are automatically harvested by the British Library to be made open access, unless the author has declined this service. If an external request arises, the University Library may submit a copy of a thesis to the British Library, to be made open access.

11.6.3.3. Viva

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	DSAA RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Viva recommendation forms	P/E	Graduation / withdrawal	80 years	Destroy	Confirmation of eligibility of award; Limitation Act 1980	Equivalent of the UP6				DP CC IP Pres

11.6.3.4. Higher Degrees by Publication and Higher Doctorates (historic)

Higher doctorates were formally removed academic year (2014/15) and students for higher degrees by publication are now treated as all other students.

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	DSAA RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Applications for the award	P/E	End of academic	6 years	Destroy	Limitation Act 1980					DP CC IP Pres

11.6.4. Feedback to Students

All feedback should be type-written. If any feedback (together with the related artefact) is not collected by a student, it should be held for at least three months, before being confidentially destroyed. Departments must ensure that students are made aware of the importance of making appeals or complaints concerning assessments promptly, to ensure that the relevant paperwork will still be available and that staff can investigate the concerns of students effectively.

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	DSAA RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Physical feedback – by group / generic feedback per cohort	P	End of academic	3 years	Destroy	Internal and external audit; To ensure information is available in the event of a query or dispute; Code of Practice for the Assessment of Students					DP CC IP Pres
Physical feedback - uncollected individual feedback	P	Confirmation of results by Board of Examiners	3 months†	Destroy	To ensure information is available in the event of a query or dispute; Code of Practice for the Assessment of Students	† In the event of appeal/complaint, the work (or a copy) should be retained until all appeal/complaint procedures (both internal and external) have been exhausted.				DP CC IP Pres
Electronic feedback – all types	E	End of academic year	9 years	Destroy	The entire VLE retention has been extended to 9 years as a result of the 2022 OfS requirement to retain assessments longer		VLE			

11.6.5. Module Assessment Boards (formerly Unit Assessment Boards)

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
Marks input into the student records system	E	Graduation / withdrawal		80 years	Delete	To provide transcript data for students; QAA Guidelines for HE Progress Files		SITS system	All prior info migrated to data warehouse	Not published	
MAB minutes - where marks have been put into student records system	P/E	End of academic year	6 years		Destroy	To ensure information is available in the event of a query or dispute; Limitation Act 1980	Includes reports From October 2006 onwards the minutes (including the accompanying mark sheets) of Module (or Unit) Assessment Boards should be required for no longer than six years, provided that all marks have been input into the student records system. For audit purposes a copy of the actual MAB (or UAB) report printed and used at the meeting should be included.	eRecords	K:drive, FileStore or local filing	Not published	
UAB minutes - where they are the only source of transcript data (historic)	P/E	Graduation / withdrawal	80 years		Destroy	To provide transcript data for students; QAA Guidelines for HE Progress Files	Includes reports	N/A	FileStore or local filing	Not published	
MAB data within Module files	P/E	End of academic year	3 years		Destroy	Module Management Handbook (Annex A)		VLE	FileStore or local filing	Not published	

11.6.6. Board of Examiners

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
Results input into the student records system	E	Graduation / withdrawal		80 years	Delete	To provide transcript data for students; QAA Guidelines for HE Progress Files		SITS System	All prior info migrated to data warehouse	Not published	DP CC IP Pres
BOE minutes - where results have been put into student records system	P/E	End of academic year	6 years		Destroy	To ensure information is available in the event of a query or dispute; JISC recommendation; Limitation Act 1980	Includes reports. From October 2006 onwards the minutes of Boards of Examiners should be required for no longer than six years, provided that all results have been input into the student records system.	K:drive	FileStore or local filing	Not published	DP CC IP Pres
BOE minutes - where they are the only source of transcript data	P/E	Graduation / withdrawal	80 years		Destroy	To provide transcript data for students; QAA Guidelines for HE Progress Files	Includes reports	N/A	FileStore or local filing	Not published	DP CC IP Pres
Certificate Award Confirmations (CAC)	P	End of academic year		80 years	Destroy	To preserve evidence of the authority for the University's awards	Formerly known as UP6 conferment lists. As of summer 2023, UP6s are no longer generated, as the data is drawn directly from SITS. CAC is the SITS term for the table holding the data. It is not an entity in and of itself.	SITS system	All prior info migrated to data warehouse		DP CC IP Pres

11.6.7. Extenuating Circumstances

Some forms and evidence may contain sensitive personal data (e.g. medical information), and in these cases access must be restricted. If the items are held in paper format, they should be placed within sealed envelopes to ensure confidentiality.

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	FACULTIES RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Forms and evidence	E	Graduation / withdrawal	6 years	Delete	Limitation Act 1980; Examination and Assessment Regulations	Forms part of the Student Record	SITS system	eRecords System (in personal info file divider)	Not published	DP CC IP Pres

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11.6.8.   Academic Appeals

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	FACULTIES RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Reports, evidence and correspondence	P	Last action on case	6 years	Destroy	Limitation Act 1980; Data Protection Act 1998; JISC recommendation	Forms part of Student File	DSAA filing cabinets	FileStore	Not published	DP CC IP Pres

11.6.9.   Academic Misconduct

See **11.3.4 General Misconduct**, above.

11.7.   Course Records

11.7.1.   Course Approval

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	DSAA RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Home courses	E	Date of approval	5 years	Delete	To preserve audit trail of approval process; To ensure information is available to answer queries	For example: Submission documents, reports, minutes of approval committees	TBD	K:drive	Not published	DP CC IP Pres
Collaborative programmes	E	Expiry of contract	6 years	Delete	To preserve audit trail of approval process; To ensure information is available to answer contractual queries; Limitation Act 1980	For example: Submission documents, reports, minutes of approval committees	TBD	K:drive	Not published	DP CC IP Pres

11.7.2.   Course Specification (formerly Programme Specification)

Programme specifications must be retained permanently to ensure departments can supply transcript data for their former students: they must be able to confirm not only the courses that students have studied, but also the actual content of those courses. The requirement to preserve programme specifications is retrospective: if past versions of specifications (as well as definitive course documents which preceded them) have survived, they must be retained permanently.

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	FACULTIES RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Course Specification Documents	P/E	End of academic year	80 years	Destroy	To preserve an audit trail of changes; To provide transcript data for students; Limitation Act 1980	Forms part of the contractual relationship with the student	eRecords System	N/A	Published on website and the VLE	DP CC IP Pres

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11.7.3. Course Structure

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
Course structure documents	E	End of academic year		80 years	Delete	To preserve an audit trail of changes; To provide transcript data for students; Limitation Act 1980		eRecords System	K:drive	Not published	DP CC IP Pres
Course structure update documents	E	End of academic year	1 year		Delete		Once the process of updating course structures is managed via the eRecords system, there should be no more update documentation, as it should all be managed within the system' workflow	eRecords System	K:drive	Not published	DP CC IP Pres

11.8. Module Records (formerly Unit Records)

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
Module approval forms	P/E	Life of unit	3 years		Destroy	To preserve audit trail of approval process		TBD	K:drive or local filing	Not published	DP CC IP Pres
Module descriptions (also known as descriptors)	E	End of academic year	80 years	80 years	Delete	To preserve an audit trail of changes; To provide transcript data for students;	**Responsibility for Retention:** DSAA, if data held on JUNO/TUD; Faculties, if data held separately from, or pre-dating TUD.	SITS System	Quercus, Juno or local filing	Published via Moodle	DP CC IP Pres
Module evaluation reports	E	End of academic year	3 years		Delete			VLE	K:drive	Not published	DP CC IP Pres
Module files	E	Life of unit	3 years		Delete	To preserve an audit trail of changes; To ensure information is available to answer queries	Where sample assignments are held in Moodle or Turnitin these can be linked to the Module File using the archive Moodle URL and assignment ID.	VLE	Local filing	Not published	DP CC IP Pres

11.9. MyPort

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	FACULTIES RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Information pages on the MyPort website	E	When superseded	6 years	Delete	To ensure information is available in the event of a dispute or complaint by a student; Limitation Act 1980		MyPort website	MyPort archive	Available to all students and staff	DP CC IP Pres
Records of enquiries by and interactions with students	E	End of academic year	N/A	Delete	To provide service to students	It is believed that this will move to the CRM system in due course	MyPort enquiries system	N/A	Not published	DP CC IP Pres

11.9.1. Student Handbooks (historic)

Student Handbooks were discontinued from 2018/19 onwards as the information was more readily accessible via MyPort and other online sources.

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	FACULTIES RETENTION PERIOD	DSAA RETENTION PERIOD	MARKETING RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Under-Graduate handbooks	P/E	When superseded			6 years	Destroy	To ensure information is available in the event of a dispute or complaint by a student; Limitation Act 1980	For example: departmental supplements, course supplements, unit supplements, placement supplements. Forms part of the contractual relationship with a student	K:drive	N:drive & Marketing D:Drive (PDF)	In print and on website	DP CC IP Pres
Post-Graduate handbooks	E	When superseded		6 years		Delete	To ensure information is available in the event of a dispute or complaint by a student; Limitation Act 1980	For example: departmental supplements, course supplements, unit supplements, placement supplements Forms part of the contractual relationship with a student	eRecords System		Published on website and/or VLE	DP CC IP Pres
Local student handbooks (where created)	E	When superseded	6 years			Delete	To ensure information is available in the event of a dispute or complaint by a student; Limitation Act 1980	For example: departmental supplements, course supplements, unit supplements, placement supplements Forms part of the contractual relationship with a student	K:drive	Local Filing	Published on website and/or VLE	DP CC IP Pres

11.10. Course Materials

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	FACULTIES RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
VLE materials (this is now the majority of teaching materials)	E	End of academic year	3 years†	Delete	Internal and external audits / reviews	For example: course notes; presentations; self-test questions, quizzes and assignments †Unless a longer retention period is required by professional bodies	VLE			DP CC IP Pres
Teaching materials **not** held on VLE	P/E	End of academic year	3 years†	Destroy	Internal and external audits / reviews	For example: course, lecture and seminar notes; handouts; manuals; presentation materials; reading lists †Unless a longer retention period is required by professional bodies	K:drive		VLE	DP CC IP Pres
Samples of course materials	P/E	End of academic year	N/A	Destroy	Module Management Handbook (Annex A)		VLE	Unit box files (local filing or FileStore)		DP CC IP Pres

11.11. Timetables

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	TIMETABLING RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
University Timetables	E	End of academic year	2 years	Delete	To answer enquiries		CMIS			DP CC IP Pres

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11.12. Graduation

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	DSAA RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Administration of the ceremonies	E	End of academic year	1 year	Delete	To ensure information is available for planning the next year's graduation ceremonies		K:drive & Google	N/A		DP CC IP Pres
Graduation programmes	P	Close of event	N/A	Archive	Historical value			University Archive	Made available at graduation	DP CC IP Pres
Copies of key orations given at graduation	P	Close of event	N/A	Archive	Historical value		eRecords	University Archive		DP CC IP Pres
Historical listings of all honorary graduates	P	Close of event	N/A	Archive	Historical value		eRecords	University Archive		DP CC IP Pres
Honorary graduate photo books	P	Close of event	N/A	Archive	Historical value			University Archive		DP CC IP Pres
Honorary graduate signature books (historic)	P	Book full	N/A	Archive	Historical value	Use of signature books ceased in 2022. All existing books have been sent to the archive	N/A	University Archive		DP CC IP Pres

11.13. Quality and Validation

For retention of records relating to the quality, validation and monitoring of courses - see **Retention Schedule – 02 Audit Records**.