

LIVERPOOL HOPE UNIVERSITY

RECORDS MANAGEMENT :

Archiving Policy for Student and Curriculum Data

Approved by:	University Council
Date approved :	4 th July 2013

A. Scope of the Policy

- The policy covers all student and curriculum data held by Student Administration.
- The policy also covers complementary data held by Faculties, specifically:
 - minutes, marksheets and other data from Panels and Boards of Examiners;
 - examination papers and coursework questions/titles;
 - students' coursework [including completed class tests];
 - examination scripts;
 - coursework submission records [including class tests];
 - attendance records and other material relating to a student's engagement with their studies;
 - records of mitigating circumstances;
 - records of advice given by, and decisions made by, Faculty Senior Academic Advisers;
 - academic references;
 - copies of handbooks and course proposals.
- For student data, the policy applies to all students admitted to the University, irrespective of whether they completed their course. The policy does not cover unsuccessful applicants.

B. Background and Principles

B1 JISC Guidance

JISC Guidance on Managing Student Records, January 2007, states: *"Each individual institution should decide whether it wishes to retain core student records permanently to support wider academic and personal research. From a purely business point of view the institution need only retain records which allow it to provide a transcript showing when a student attended the institution, what courses they followed while they were there and the grades achieved, the final degree awarded and any academic distinctions achieved."*
This Policy assumes that the core records [as defined in "B4" below] will be retained permanently, but that supplementary records will be destroyed after a specified period [as outlined in "C" below].

B2 Data Protection

All data must be controlled and managed in line with the principles of the Data Protection Act 1998.

B3 Destruction of Records

The destruction of student files must in all cases be in accordance with this policy; all student files held on paper must be shredded before destruction.

In order to facilitate the destruction of student files according to the schedules in Section C, Faculties and Student Administration are advised to categorise archived student data according to the academic year in which a student left the University.

B4 The “Student Record” and the “Curriculum Record”

The Student Record

- The **student record** relates to individual students. It therefore includes records of admission; registration & enrolment to modules/courses; attendance and engagement; exam scripts and coursework answers; marks, progression and award outcomes; records of examiners’ meetings and of the consideration of appeals; and references or other documents supplied to confirm a student’s achievements.
- The student record comprises the **core record** & the **supplementary record**.
- The **core student record**:
 - comprises:
 - the student’s name, ID number, date of birth, most recent contact address and programme of study,
 - minutes, marksheets and transcripts from Panels/Boards of Examiners,
 - any other information about the student that is held on SITS;
 - is maintained indefinitely, with Student Administration being responsible for storing, and maintaining the integrity of, the record.
- The **supplementary student record**:
 - comprises:
 - data held about individual students *in addition to* the core student record,
 - is maintained according to the timescales in Section C below, with responsibility allocated in accordance with that Section.

The Curriculum Record

- The **curriculum record** relates to the course, not to the student. It therefore includes records of curriculum structures, assessment patterns and weightings, progression and award rules, calendars and examination timetables, and regulations & published regulatory guidance.
- The curriculum record comprises the **core record** and the **supplementary record**.
- The **core curriculum record**:
 - comprises:
 - the approved Definitive Documents and subsequent amendments;
 - academic calendars;
 - approved regulations and conventions;
 - any other information about the curriculum that is held on SITS;
 - is maintained indefinitely, with Student Administration being responsible for storing, maintaining the integrity of, the record.

- The **supplementary curriculum record**:
 - comprises:
 - data held about courses *in addition to* the core curriculum record,
 - is maintained according to the timescales in Section C below, with responsibility allocated in accordance with that Section.

B5 Professional Programmes

Notwithstanding the timescales in “C” below, data shall be held longer if this is a statutory requirement for a professional programme.

B6 Acknowledgements

This policy has been compiled in consultation with members of the Academic Registrars’ Council, and has made extensive reference to the University of Abertay Dundee’s Archiving Policy Student Records, 15th October 2003. Other documents consulted include the JISC Guidance on Managing Student Records Retention Schedule, January 2007, the King’s College, London, *What is a Student Record?* Case Study, November 2003, the University of Essex’s Student Records Management, Retention and Disposal Policy, March 2004, and the SOAS Retention Schedule, August 2008.

C. Retention of the Supplementary Records

C1 *Curriculum*

Data	Purpose of retention	Period of retention	Held by
Details of proposed, but not approved, courses and programmes.	Annual monitoring and reviews.	Following subsequent Departmental Review and Periodic Review.	Faculty
Draft on-line module / course specification forms not submitted for approval.	None	To be destroyed at end of the academic session.	[QAE, in liaison with Student Administration are responsible for removal.]
Course/module handbooks and similar data.	Annual monitoring and reviews.	Following subsequent Departmental Review and Periodic Review.	Faculty
Examination timetables	In case of litigation or provision of references or similar documents.	Six years.	Student Administration
Assessment due dates	In case of litigation or provision of references or similar documents.	Six years.	Faculty for 2008/9 & earlier [but will be held on SITS, thereby forming part of the core record, from 2009/10]
Examination question papers and coursework questions	Quality assurance/assistance for students preparing for assessment	Five academic years after the year of setting.	Relevant Faculty.

C2 *Students [Admission, Registration, Enrolment & Withdrawal]*

Data	Purpose of retention	Period of retention	Held by
Student application forms [including UCAS], and other admissions material	In case of litigation.	Exit plus one year.	Student Administration
Student registration forms	In case of litigation.	Exit plus six years.	Student Administration
Requests to select options or change internal courses	In case of litigation.	Exit plus one year unless an appeal is in progress	Student Administration
Letters / forms showing why a student withdrew or interrupted studies.	In case of litigation or provision of references or similar documents	Exit plus six years.	Student Administration

C3 Students [Assessment and Awards]

Data	Purpose of retention	Period of retention	Held by
Proof of posting of Certificates, etc., sent to students who do not attend ceremonies; copies of returned Certificates and transcripts	Complaints/appeals	Current academic year plus one year	Student Administration
Coursework scripts [including completed class tests], and examination scripts	Appeals Quality Assurance	<ul style="list-style-type: none"> ○ Coursework scripts [including completed class tests] are normally returned to students. ○ Examination scripts are not returned to students. ○ A copy of a small sample of assessed work for each module, comprising work from the top, middle and bottom of the range, is to be retained for QA purposes until the next Departmental Review/Ofsted inspection. The detail of the sample is to be determined by the Department concerned. ○ All work not in the sample can be destroyed after the relevant Board of Examiners has taken place and results released, the timescale for Academic Appeals is completed, and students who have not collected coursework have been notified that work not collected by a specified date will be destroyed. 	Relevant Faculty
Records documenting student attendance at examinations	Complaints/appeals	Current academic year plus one year	Student Administration
Records documenting student submission of coursework [including class tests]	Complaints/appeals	Current academic year plus one year	Faculty Office 08-09; part of core record on SITS from 09-10.

C3 Students [Assessment and Awards, continued]

Data	Purpose of retention	Period of retention	Held by
Records relating to medical evidence and mitigating circumstances	Complaints/appeals	Exit/last contact plus six years.	Student Administration/relevant Faculty/ies
Final transcript showing a student's achievements at the point they withdrew or completed their course [only where this is not in SITS].	Preparation of academic references; evidence of academic achievement.	Held indefinitely. Digitised six years after exit	Student Administration
Copies of interim results letters [e.g. confirmed end of semester results or confirmed end of year results, as opposed to the final transcript showing a student's achievements at the point they withdrew or completed their course].	In case of litigation.	Exit plus one year unless an appeal is in progress	Student Administration

C4 Students [Appeals, Academic Misconduct, Poor Engagement and Academic Advice]

Data	Purpose of retention	Period of retention	Held by
Documents related to Academic Appeals cases [from consideration of a <i>prima facie</i> case to the outcome of Academic Appeals Committee]	In case of litigation/appeal to OIA.	Exit/last contact plus six years.	Student Administration
Other documents related to cases of alleged plagiarism, collusion or cheating.	In case of litigation/appeal to OIA.	Exit/last contact plus six years.	Coursework: relevant Faculty; Exams: Student Administration
Attendance records	In case of litigation/appeal to OIA.	Exit/last contact plus six years.	Faculty Office (in electronic format)

C4 *Students [Appeals, Academic Misconduct, Poor Engagement and Academic Advice, continued]*

Data	Purpose of retention	Period of retention	Held by
Other material, including correspondence, relating to the level of a student's engagement with their studies [e.g. letters sent via the Student Monitoring System and any system monitoring system established to meet UK Border Agency requirements].	In case of litigation/appeal to OIA.	Exit/last contact plus six years.	The body responsible for the material or correspondence [Faculty Office or Student Administration]
Moodle-based and other records of academic advice given, and decisions made, by Faculty Senior Academic Advisers	In case of litigation/appeal to OIA.	Exit/last contact plus six years.	Relevant Faculty
Moodle-based and other records of academic advice given, and decisions made, by APAS/Gateway SAA	In case of litigation/appeal to OIA.	Exit/last contact plus six years.	Student Administration

C5 *Students [References, and Other Information Supplied to External Agencies]*

Data	Purpose of retention	Period of retention	Held by
Academic references	Confirmation that reference has been provided.	One year after completion of request, or three years after student completed their course [whichever is the later] ...	Relevant member of staff in the Faculty
Information provided for employers and other external agencies regarding references [apart from detailed academic references], attendance, and results (e.g., transcripts), including information sent to UK Border Agency	Confirmation that information has been provided.	One year after completion of request, or three years after student completed their course [whichever is the later].	Student Administration