# Academic department retention schedule – Version 4 2019

**Notes:**
- The list is not exhaustive – if you have some records or duplicate information not on this list, please contact the Information and Records Manager Rachael Maguire.
- The list mentions the minimum retention period. If you have a need to keep records longer, document this need and keep them for that time period.
- Try to get into the habit of clearing records out once a year. Find a quiet (or quieter) period where you can concentrate on this for a day or half a day.
- If you need to keep records as they have not reached the end of their retention period, but don't have room in your office, they can be sent to secondary storage. Contact the Records Manager for advice on how to do this.
- Paper records should be destroyed via the confidential waste sacks.
- Electronic records, including email should also be destroyed by deletion

| No | Records documenting/containing | Retention | Responsibility for keeping lies with: |
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| **1.0** | **Teaching records** | | |
| 1.1 | departmental strategy, policies and planning; teaching committee records | 5 years after change in strategy, policy, plan; Papers of teaching committees: current academic year + 5 years | Departments, though this may be though departmental meeting minutes, with a copy of the operational policy and current and last previous development plan. Wayne Tatlow suggests that as the departmental plans go through committees and are kept for the life of the committee, departments only need to keep the current operational plan and the last two departmental plans. |
| 1.2 | the conduct and results of departmental audits and reviews of teaching performance and response to results | Current academic year + 3 years | Departments |
| 1.3 | the conduct and results of TQARO audits and reviews of teaching performance and response to results | Current academic year + 10 years for record copy; Current academic year + 5 years for duplicates | TQARO keep record copy CY+10 years; department info copy CY + 5 years |
| 1.4 | the conduct and results of external reviews and audits of teaching quality and responses to results | Current academic year + 5 years | TQARO have a non definitive central copy, so Depts must keep record copy |
| 1.5 | the development of taught curriculum - if being taken as Calendar, Prospectus | 10 years after development completed (J/A) | Record copies of prospectus in Graduate Admissions; record copies of Calendar in Library. Departmental copies can be got rid of as soon as the new one has been received, though previous years may be kept as required |
| 1.6 | the process of obtaining approval and/or accreditation for taught programmes | Life of programme | TQARO-records of changes; Departments - minutes |

| 1.7 | development and final versions of course materials | Life of course | Departments where department hold these, otherwise kept by academics |
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| 1.8 | taught course statistics | Current academic year + 5 years | TQARO - internal reviews statistics for registrations only up to 2001 and registrations and applications from 2001; SITS - others |
| 1.9 | the development and final versions of taught course assessment | Life of course | On website, managed by Web Services through CMS |
| 1.10 | taught course students' submitted/completed assessments | Formative: no retention. Summative: end of appeals process + 1 year | Formative - goes back to student; summative exam scripts- Exams Office keep record copy up to end of appeal procedures + 1 year; summative assessed essays/dissertations – departments to keep record copy to end of appeal procedures + 1 year |
| 1.11 | marks awarded to submitted/completed assessments, including reviews in response to notifications of exceptional circumstances and academic appeals | Formative: no retention. Summative: completion of student's programme + 1 year | Final marks and mitigating circumstances - SITS permanently; Marking breakdowns - Departments keep until scripts disposed of based on 1.10 |
| 1.12 | awards and classifications | Permanent | SITS: record copy |
| 1.13 | feedback on academic progress, and general academic guidance and support, given to individual students | Completion of student's programme + 6 years | UG - LSE4U record copy; PG - Depts [Gender use a form for this purpose] |
| 1.14 | Examination papers | Record copy: permanent; Duplicates: current academic year + 4 years | Archives: record copy (transferred from Library after scanning); Depts: duplicate copies CY + 4 |
| 1.15 | Timetabling constraints e.g.illness | Record copy: Current academic year; Duplicates: 6 months after receiving notification of constraint | Timetables: Record copy; Depts: duplicate |
| **2.0** | **Assessment** | | |
| 2.1 | the handling of individual students' requests for statements of results | Last action on request + 1 year | SITS: main requests; Depts: requests made to depts only |
| 2.2 | schedules for submission, marking and return of coursework | Current academic year | Depts: record copy |
| 2.3 | the development and establishment of assessment and examination rules and procedures | Master records: permanent; working papers: sent to archive 10 years after rules and procedures established | SSC: Master records; Depts: working papers – mainly departmental committee papers |

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| 2.4 | the selection and appointment of external examiners | Current academic year (L/D) | Exams Office: record copy for + 4; Depts: in committee papers kept permanently but send to archive + 10 |
| 2.5 | liaison with external examiners on administrative matters | Record copy: Current academic year + 1 year; Duplicates: Current year | Academic Registrar: record copy; Depts: duplicate |
| 2.6 | the movement and security of examination papers and scripts | Exam processing period + 1 year | Depts: record copy |
| 2.7 | individual students' attendance at examinations, and the handling of reports of exceptional circumstances | Exam processing period + 1 year | Exams office/SSC: attendance; SSC: exceptional circumstance part of appeals process – record copy |
| 2.8 | the collation of examination results and compilation of pass lists and individual notifications of results | Notification: Exam processing period + 1 year; Results: permanent | Notification – LSE4U: record copy; Results – SITS |
| 2.9 | individual students' submission of assessed work and handling of reports of exceptional circumstances | Current academic year + 1 year | Depts: record copy |
| 2.10 | exam sub board paperwork including exceptional circumstances, minutes of meetings etc | Exam processing period + 6 years | Depts: record copy |
| 2.11 | PhD Exam forms, viva reports, fieldwork forms | Record copy: date student leaves + 6 years Duplicates: while student with department | PhD Academy: record copy; Depts: duplicate |
| 2.12 | examination paper production – note this relates to record about the production of examination papers 1.14 covers the papers themselves | Current academic year + 5 years | Depts: record copy |
| 2.13 | Examination scripts, including dissertations | Exam processing period + 1 year | SSC: record copy once depts have finished processing |
| **3.0** | **Student records, including recruitment and admissions** | | |
| 3.1 | the design, conduct and summary results of student recruitment campaigns, events & schemes | Completion of campaign, event or scheme+ 5 years | Student recruitment: record copy |
| 3.2 | the handling of enquiries from prospective students | Record copy: current academic year + 3; Duplicates: destroy/delete ASAP | Admissions: record copy; Depts: duplicate copy destroy/delete ASAP |
| 3.3 | summaries and analysis of enquiry, recruitment and retention data | Current academic year + 5 years | Admissions: record copy [surveys] |
| 3.4 | summaries and analyses of data on registration of students on programmes | Current academic year + 6 years | SITS: main datasets; Depts: databases kept for own purpose |
| 3.5 | the design, conduct and review of induction programmes for new students | Completion of induction programme + 5 years | Depts: record copy |
| 3.6 | Inclusion Plans, other records relating to student disability | Record copy: termination of relationship with student + 6 years; Duplicates: destroy when student leaves dept | DWS: record copy; Depts: duplicates |

| 3.7 | departmental documents on the academic progress of individual students and formal action taken by the institution to deal with unsatisfactory progress, including interruptions and exceptions | Record copy: termination of relationship with student + 6 years; Duplicates: destroy ASAP | SSC, SITS, misconduct board: record copy; Depts: duplicates |
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| 3.8 | the conduct and results of disciplinary proceedings against individual students | Record copy: Last action on case + 6 years; Duplicates: destroy ASAP | SITS, Secretary of School's delegated officer: record copy; Depts: duplicates |
| 3.9 | the handling and results of academic appeals by individual students | Record copy: Last action on case + 6 years; Duplicates: destroy ASAP | SSC: record copy; Depts: duplicates |
| 3.10 | the handling of formal complaints made by individual students | Record copy: Last action on case + 6 years; Duplicates: destroy ASAP | SSC, Secretary of School's delegated officer: record copy; Depts: duplicates |
| 3.11 | class/tutorial lists | Current academic year | Depts: record copy |
| 3.12 | Student ambassador details | Current academic year + 1 year | Depts: record copy |
| 3.13 | individual attendance e.g. self reporting forms for MSc students | Current academic year + 1 year | Depts: record copy |
| 3.14 | The organization of students' work placements, exchanges | Current academic year + 1 year | Depts: record copy |
| 3.15 | Masters student applications - successful | Record copy: termination of relationship with student + 6 years; Duplicates: destroy when student leaves dept | SSC: record copy; Depts: duplicates |
| 3.16 | PhD student applications - successful | Record copy: termination of relationship with student + 6 years; Duplicates: destroy when student leaves dept | PhD Academy: record copy; Depts: duplicates |
| 3.17 | Unsuccessful student applications | Completion of offer round + 6 months, aside from basic SITS record kept + 6 years | SITS, UAO – 1 year retention, GAO: record copy; Depts: duplicates |
| 3.18 | Student logistics, e.g. lockers, photoboards, desk/office placements, noticeboards, Christmas and end of year parties | Current academic year | Depts: record copy |
| 3.19 | the establishment and operation of staff-student liaison committees | Life of committee + 3 years | Depts: record copy |
| 3.20 | the design and conduct of departmental student surveys | Completion of survey + 5 years | Depts: record copy |
| 3.21 | results of student surveys: individual responses | Completion and acceptance of analysis of survey responses | TQARO: record copy though free text comments sent to teachers |
| 3.22 | results of student surveys: summaries and analyses of responses | Permanent. Send to archive current academic year + 10 years | Depts: record copy but in committee papers |
| 3.23 | the handling of suggestions from individual students | Last action on suggestion + 1 year | Depts: record copy |

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| 3.24 | the creation and awarding of student prizes | Permanent in LSE Digest or equivalent and in committee papers. Send to archive LSE Digest: current year; committee papers: current academic year + 10 years | Depts: record copy committee papers; PCPD: record copy LSE Digest |
| 3.25 | Copies of visa and passport for sponsored students, and other immigration related records | End of student relationship + 6 years or until seen by a compliance officer, whichever is longer. | Registry: record copy; Depts: should not keep |
| 3.26 | Correspondence with students | Current academic year + 6 years | Depts: record copy |
| 3.27 | Student reference letters N.B. these are letters written by academic staff for students requiring a reference for another institution | Current academic year + 10 years | Depts: record copy |
| 3.28 | Student risk assessments e.g. for travel | Current academic year + 6 years | Depts: record copy; Health and Safety; duplicate (kept for same time period) |
| **4.0** | **Alumni records** | | |
| 4.1 | Graduating student details | Record copy: Current academic year refreshed yearly. Departments should access through SalesForce rather than keep local duplicates. | Advancement: record copy; Depts: access through SalesForce |
| 4.2 | Communications with alumni | Record copy: Current academic year refreshed yearly. Departments should access through SalesForce rather than keep local duplicates. | Advancement: record copy; Depts: access through SalesForce |
| **5.0** | **Publication records** | | |
| 5.1 | the design, commissioning, editing and production of publications | Issue of publication + 1 year | Depts: record copy |
| 5.2 | Author and manuscript data | Published article: Life of publication + 3 years; Correspondence relating to article including peer review records: date of publication + 3 years; Rejected article records: current year + 3 years | Depts: record copy |
| **6.0** | **Learning support** | new section requested at AUMF – not all departments will be going through official accreditation e.g. IIP, but this also covers training and other developmental records | |
| 6.1 | Developing strategies to improve the performance of the department including learning and development opportunities for staff | Issue of strategy + 3 years | Depts: record copy |
| 6.2 | Managing departmental performance including managing learning and development opportunities for staff | Current year + 3 years | Depts: record copy |
| 6.3 | Evaluating departmental performance in providing learning and development opportunities for staff | Current year + 3 years | Depts: record copy |
| **7.0** | **Financial and legal records** | | |

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| 7.1 | Invoices, payment request forms, other payment related records such as payments to staff and honoraria to third parties, petty cash etc | Record copy: Current financial year + 6 years; Duplicates: current financial year + 1 year | Finance: Record copy; Depts: duplicate copy. NOTE: If Finance moves to an electronic system for managing invoices, duplicates may no longer need to be kept |
| 7.2 | Funding records - HEFCE or statutory body funding | Record copy: Current financial year + 6 years; Duplicates: current financial year + 1 year | Research: Record copy; Dept: duplicate copy |
| 7.3 | Funding records - Research grants, Studentships etc. | Record copy: termination of grant + 6 years; Duplicates: current financial year + 1 year | Research: Record copy; Dept: duplicate copy |
| 7.4 | Funding records - European Social Fund | Record copy: Final payment to UK + 3 years; Duplicate copy: current financial year + 1 year | Funding recipient: Record copy; Dept: duplicate copy. NOTE: originals MUST be kept of all invoices and it is advised that records are kept until the UK government says they can be destroyed or funding can be recalled |
| 7.5 | Budget records | Record and duplicate copies: Current financial year + 1 year | Finance, Planning: Record copy - Depts should still keep duplicates for this time period |
| 7.6 | Bank details for general reimbursements | Destroy as soon as possible after using, but maximum 6 months after a student finishes a programme | Depts: record copy |
| 7.7 | Corporate sponsorship & partnerships | Life of sponsorship/partnership + 6 years | Depts: record copy |
| 7.8 | Memoranda of Understanding, similar legal agreements | Record copy: End of agreement + 6 years; Duplicate: End of agreement + 1 year | School Secretary: record copy; Depts: duplicate copy |
| 7.9 | Consent forms for audio-visual recording | Until recording destroyed | Depts: record copy |
| 7.10 | Business continuity records | Record copy: Until superseded + 6 years; Duplicate copy: Until superseded | Business Continuity: record copy; Depts: duplicate copy |
| **8.0** | **Human resources records** | | |
| 8.1 | Staff files, including contracts | Record copy: Termination of employment + 6 years; Duplicates termination of employment + 1 year | Main files - HR; Supplementary files - Depts, but should contain only duplicates of records on main file |
| 8.2 | Job applications | Successful - Record copy ;keep on staff file; Duplicate copy: termination of employment + 1 year: Unsuccessful - record and duplicate copies: completion of recruitment process + 3 months | Successful - Main files - HR; Supplementary files - Depts, but should contain duplicates of records on main file; Unsuccessful - HR and Dept |
| 8.3 | Job descriptions | Record and duplicate copies: Duration of job + 1 year | Depts: record copy; HR: duplicates |

| 8.4 | Major reviews/annual monitoring/performance development reviews | Record and duplicate copies: Reviews: Last review + 6 years; Annual monitoring exercises: Last exercise + 2 years | Planning: record copy; depts: duplicate copy, but may want to keep records for the same length of time so that they have then at the next review/monitoring exercise |
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| 8.5 | Staff resources e.g. MSLs | Record and duplicate copies: Current year + 3 years | Costs - HR: record copy; depts: duplicate copy. Allocations - Planning: record copy; dept: duplicate copy |
| 8.6 | CVs | For staff employed: termination of employment; for prospective staff: current academic year + 2 years | Depts: record copy |
| 8.7 | Staff emergency contacts | Current academic year | Depts: record copy. Use MyView? |
| 8.8 | Passport nos, dietary preferences, other useful personal info | Current academic year | Dept: record copy |
| 8.9 | Academic visitors offer letters and contracts | Termination of visit + 6 years | Dept: record copy |
| 8.10 | Academic staff web biographies | For current staff: Refresh every current academic year; for staff who have left: remove from the website as soon as possible | Dept: record copy |
| 8.11 | Union related records | Current academic year + 6 years | Dept: record copy |
| 8.12 | Staff communications e.g. newsletters, circulars, etc | Current academic year + 1 year | Dept: record copy |
| 8.13 | Sickness absence records | Current academic year + 3 years | HR MyView: record copy; Dept: duplicate copy |
| 8.14 | Equality data, including Athena Swan | Record copy: Current academic year + 6 years; duplicate copy: Current academic year + 3 years | EDI: record copy; Dept: duplicate copy |
| **9.** | **External Communications** | | |
| 9.1 | Social media | Removed from website + 1 year. Removal to occur when superseded. | Dept: record copy |

| 9.2 | YouTube Channels, online video | Removed from website + 1 year<br>Removal to occur when superseded | Dept: record copy |
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| 9.3 | Newsletter subscriptions | Current academic year, refresh yearly | Dept: record copy |
| 9.4 | Seminar invitations | Current academic year, refresh yearly | Dept: record copy |
| 9.5 | Journalist details | Current academic year, refresh yearly | Dept: record copy |
| 9.6 | Visiting speakers details | Current academic year, refresh yearly | Dept: record copy |
| 9.7 | Donor details | Life of donation + 6 years | Dept: record copy |
| 9.8 | Event photos and videos | Current academic year plus two years | Dept: record copy |
| **10.** | **Research** | | |
| 10.1 | Research ethics forms | Life of research project + 6 years | Dept: record copy |
| 10.2 | Data management plans | Life of research project + 6 years | Dept: record copy |
| 10.3 | Data protection letters | Record copy: Life of research project + 6 years; DPO copy: current academic year + 6 years | Dept: record copy; DPO: duplicate |
| 10.4 | Research data, videos, transcripts | Depending on the project and funder requirements: Life of research project + 1 year or + 6 years or 10 years or after made anonymous, permanently in a data archive. | Dept, data archive: record copy |
| 10.5 | Research other supporting documentation, including REF related documentation | Record copy: Life of research project + 10 years; REF Related: Last REF + 1 + 5 years; duplicates: life of research project; REF related: Last REF + 5 years | Research Division: record copy; Dept: duplicates |
| 10.6 | Research participant information e.g. participant pools | Current academic year, refresh yearly | Dept: record copy |