

## Academic department retention schedule – Version 2 2015

### Notes:

- The list is not exhaustive – if you have some records or duplicate information not on this list, please contact the Records Manager [Rachael Maguire](#).
- 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.
- Records should be destroyed via the confidential sacks. Guidance on the confidential sacks is [here](#).

No	Records documenting/containing	Retention	Responsibility for keeping lies with:
<b>1.0</b>	<b>Teaching records</b>		
1.1	departmental strategy, policies and planning	5 years after change in strategy, policy, plan	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

No	Records documenting/containing	Retention	Responsibility for keeping lies with:
<b>1.0</b>	<b>Teaching records</b>		
1.7	development and final versions of course materials	Life of course	Departments where department hold these, otherwise kept by academics
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
<b>2.0</b>	<b>Student records</b>		
2.1	the design, conduct and summary results of student recruitment campaigns, events & schemes	Completion of campaign, event or scheme+ 5 years	Student recruitment: record copy
2.2	the handling of enquiries from prospective students	Record copy: current academic year + 10; Duplicates: destroy/delete ASAP	Admissions: record copy; Depts: duplicate copy destroy/delete ASAP
2.3	summaries and analysis of enquiry, recruitment and retention data	Current academic year + 5 years	Admissions: record copy [surveys]

2.4	summaries and analyses of data on registration of students on programmes	Current academic year + 5 years	SITS: main datasets; Depts: databases kept for own purpose
2.5	the design, conduct and review of induction programmes for new students	Completion of induction programme + 5 years	Depts: record copy
2.6	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
2.7	departmental documents on the academic progress of individual students and formal action taken by the institution to deal with unsatisfactory progress	Record copy: termination of relationship with student + 6 years; Duplicates: destroy ASAP	SITS, misconduct board: record copy; Depts: duplicates
2.8	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
2.9	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
2.10	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
2.11	class/tutorial lists	Current academic year	Depts: record copy
2.12	schedules for submission, marking and return of coursework	Current academic year	Depts: record copy
2.13	individual attendance e.g. self reporting forms for MSc students	Current academic year + 1 year	Depts: record copy
2.14	the organization of students' work placements	Current academic year + 1 year	Depts: record copy
2.15	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
2.16	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
2.17	liaison with external examiners on administrative matters	Record copy: Current academic year + 1 year; Duplicates: Current year	Academic Registrar: record copy; Depts: duplicate
2.18	the movement and security of examination papers and scripts	Exam processing period + 1 year	Depts: record copy
2.19	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
2.20	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

2.21	individual students' submission of assessed work and handling of reports of exceptional circumstances	Current academic year + 1 year	Depts: record copy
2.22	the establishment and operation of staff-student liaison committees	Life of committee + 3 years	Depts: record copy
2.23	the design and conduct of departmental student surveys	Completion of survey + 5 years	Depts: record copy
2.24	results of student surveys: individual responses	Completion and acceptance of analysis of survey responses	TQARO: record copy though free text comments sent to teachers
2.25	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
2.26	the handling of suggestions from individual students	Last action on suggestion + 1 year	Depts: record copy
2.27	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
2.28	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
<b>3.0</b>	<b>Publication records</b>		
3.1	the design, commissioning, editing and production of publications	Issue of publication + 1 year	Depts: record copy
<b>4.0</b>	<b>Learning support</b>	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	
4.1	Developing strategies to improve the performance of the department including learning and development opportunities for staff	Issue of strategy + 3 years	Depts: record copy
4.2	Managing departmental performance including managing learning and development opportunities for staff	Current year + 3 years	Depts: record copy
4.3	Evaluating departmental performance in providing learning and development opportunities for staff	Current year + 3 years	Depts: record copy
<b>5.0</b>	<b>Financial records</b>		
5.1	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

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<b>5.0</b>	<b>Financial records</b>		
5.2	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
5.3	Funding records - Research grants	Record copy: termination of grant + 6 years; Duplicates: current financial year + 1 year	Research: Record copy; Dept: duplicate copy
5.4	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
5.5	Budget records	Record and duplicate copies: Current financial year + 1 year	Finance, Planning: Record copy - Depts should still keep duplicates for this time period
<b>6.0</b>	<b>Human resources records</b>		
6.1	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
6.2	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
6.3	Job descriptions	Record and duplicate copies: Duration of job + 1 year	Depts: record copy; HR: duplicates
6.4	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
6.5	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