



Contents

2.1	Enquiries from Prospective Students.....	3
2.2	Application and Admission Records	3
2.2.1	Points Based Immigration System	4
2.2.2	Disclosure and Barring.....	5
2.2.3	Student Finance	6
2.3	Student Records.....	7
2.3.1	Core Student Data	7
2.3.2	Student Administration Records.....	9
2.3.3	Attendance Monitoring	10
2.3.4	Extenuating Circumstances	10
2.3.5	Assessed Work	11
2.3.6	Programme Assessment Boards	12
2.3.7	Exam Boards	12
2.3.8	Student Appeals.....	13
2.3.9	Student Complaint Records	14
2.3.10	Student Disciplinary Records.....	14
2.3.11	Student Accommodation Records.....	15
2.3.12	Fitness to Practice Records	17

Northumbria University – Common Records Retention Schedule

2.3.13	Academic Congregation Ceremonies	18
2.3.14	Student Sport Records.....	18
2.3.15	Student Support Records.....	19
2.3.16	Student References	19
2.3.17	Research Student Assessment.....	19
2.3.18	Research Student Academic Supervision & Support.....	20
2.3.19	Research Misconduct	20

Northumbria University – Common Records Retention Schedule

2.1 Enquiries from Prospective Students

CATEGORY	TRIGGER	PERIOD	ACTION	RATIONALE
Enquiries from prospective Home students	End of academic Years	+ 3 Years	Destroy	JISC Guidance
Enquiries from prospective Overseas students	End of academic Years	+ 3 Years	Destroy	JISC Guidance

2.2 Application and Admission Records

For example: Application forms, references, recognition of prior learning, transcripts of entry qualifications, copies of certificates, offer letters, responses, visa letters

CATEGORY	TRIGGER	PERIOD	ACTION	RATIONALE
Applicants who are not offered a place at the University	End of academic Years	+ 1 Years	Destroy	Data Protection
Applicants who are offered a place, but do not attend (non-CAS) e.g. applicants who withdraw, decline, fail to meet the entry requirements, fail to enrol.	End of academic Years	+ 1 Years	Destroy	Employment and Training Regulations S.I. 2003/1660, S.I. 2003/1661, S.I. 2006/2930.
Applicants who are given a CAS number and offered a place, but do not attend e.g. applicants who withdraw, decline, fail to meet the entry	End of academic Years	+ 6 Years	Destroy	Limitation Act 1980; UKVI

Northumbria University – Common Records Retention Schedule

requirements, fail to enrol.				
Applicants who are offered a place, accept and enrol	End of Graduation or Withdrawal Year	+ 6 Years	Destroy	Limitation Act 1980;

2.2.1 Points Based Immigration System

CATEGORY	TRIGGER	PERIOD	ACTION	RATIONALE
Documents required for compliance with the University's Tier 4 sponsor duties (Students)	End of Graduation or Withdrawal Year	+ 6 Years	Destroy	Tier 4 of the Points Based System – Guidance for Sponsors Appendix D – Keeping Documents (version 07/13)
Records regarding assessments for fees for international students	End of Graduation or Withdrawal Year	+ 6 Years	Destroy	Tier 4 of the Points Based System – Guidance for Sponsors Appendix D – Keeping Documents (version 07/13)
Record of disclosure	End of Graduation or Withdrawal Year	+ 6 Years	Destroy	Tier 4 of the Points Based System – Guidance for Sponsors Appendix D – Keeping Documents (version 07/13)

Northumbria University – Common Records Retention Schedule

2.2.2 Disclosure and Barring

CATEGORY	TRIGGER	PERIOD	ACTION	RATIONALE
Records documenting the administration of DBS identification checks	Outcome	N/A	Destroy	Limitation Act 1980;
Successful DBS checks - certificate number and date of clearance added to SITS.	End of Graduation or Withdrawal Year	+ 6 Years	Destroy	Limitation Act 1980;
Records documenting the administration of DBS panels, including student statements and certificate summary* records - Information relating to admissions of students <u>with</u> a criminal record. *Summaries contained in statements - not a copy of an actual certificate or scan/photocopy.	End of Graduation or Withdrawal Year	+ 6 Years	Destroy	Limitation Act 1980;
Records documenting the administration of DBS panels, including applicant statements and certificate summary* records - Information relating to applicants who are not admitted to the University. *Summaries contained in statements - not	End of academic Years	+ 1 Years	Destroy	Limitation Act 1980;

Northumbria University – Common Records Retention Schedule

a copy of an actual certificate or scan/photocopy.				
Students who withdraw application to the University	End of academic Years	+ 1 Years	Destroy	Good Practice
DBS certificates	Decision	+ 6 Months	Destroy	DBS Handling Policy

2.2.3 Student Finance

CATEGORY	TRIGGER	PERIOD	ACTION	RATIONALE
Records documenting liaison with external funding bodies, including sponsor forms and letters	End of Graduation or Withdrawal Year	+ 6 Years	Destroy	Limitation Act 1980
Records of sponsors	End of Graduation or Withdrawal Year of sponsored student	+ 6 Years	Destroy	Limitation Act 1980
Documents relating to withdrawal, transfer, study break, repeat notifications and tuition fee amendments	End of Graduation or Withdrawal Year	+ 6 Years	Destroy	Limitation Act 1980

Northumbria University – Common Records Retention Schedule

Records Documenting student payments where no issues arise	End of Graduation or Withdrawal Year	+ 6 Years	Destroy	Limitation Act 1980
Records documenting student payment plans that extend beyond End of Graduation or Withdrawal Year	Completion of Payment Plan	+ 6 Years	Destroy	Limitation Act 1980
Records of students who become debtors, including notification to debt recovery firms	Full Payment of debt	+ 6 Years	Destroy	Limitation Act 1980
Records documenting student expenses claims	End of financial Years in which claim was submitted	+ 6 Years	Destroy	Limitation Act 1980

2.3 Student Records

2.3.1 Core Student Data

Core student data is information about a student that the University needs to keep in order to carry out the following functions satisfactorily:

- Providing a transcript
- Providing replacement certificates
- Validating information to support graduate needs (Emigration, further study etc)
- Provide references
- Verify Student on professional programme is of good standing

Northumbria University – Common Records Retention Schedule

In order to produce the above, the University retains the following information:

- Student ID
- Student name
- Student Date of birth
- The Programme(s) on which the student was enrolled
- The modules taken in each Years of study (including descriptors)
- The assessment and reassessment grades for each module
- The number of credits gained in each module
- The awarded and class attained.
- Start date and end date of study
- Details of any prizes/awards (where applicable)

CATEGORY	TRIGGER	PERIOD	ACTION	RATIONALE
Post 2007 Students whose core data is recorded on SITS	End of Graduation or Withdrawal Year	+ 80 Years	Destroy	Limitation Act 1980
Paper records of Pre-2007 students containing core and non-core information where not all information is not held on SITS.	End of Graduation or Withdrawal Year	+ 80 Years	Destroy	Limitation Act 1980
HEAR Documents	End of Graduation or Withdrawal Year	+ 80 Years	Destroy	Limitation Act 1980

Northumbria University – Common Records Retention Schedule

Fitness to practice records of students registered on programmes leading to professional qualifications or entry into professions (e.g. Teaching, social work, health).	2.3.2 Fitness to Practice Records			
Confirmed Marks and transcripts	End of Graduation or Withdrawal Year	+ 80 Years	Destroy	Limitation Act 1980
Viva recommendations	End of Graduation or Withdrawal Year	+ 80 Years	Destroy	Limitation Act 1980
Administration of placement and training data (Professional) required to provide evidence core learning and teaching.	End of Graduation or Withdrawal Year	+ 80 Years	Destroy	Limitation Act 1980; Data Protection JISC Guidance

2.3.2 Student Administration Records

CATEGORY	TRIGGER	PERIOD	ACTION	RATIONALE
Student administrative records e.g. Tutorial, Supervision, development planning, academic progress, transfers and	End of Graduation or	+ 6 Years	Destroy	Limitation Act 1980

Northumbria University – Common Records Retention Schedule

withdrawals, etc	Withdrawal Year			
Administration of placement and training data (none Professional)	End of Graduation or Withdrawal Year	+ 6 Years	Destroy	Limitation Act 1980; Data Protection JISC Guidance
Operational administrative records e.g. Library loans, IT Usage, Use of E-Learning	End of Graduation or Withdrawal Year	+ 6 Years	Destroy	Limitation Act 1980
Student Examination Administration (Timetables, attendance records etc)	End of Current Academic	+ 6 Years	Destroy	JISC

2.3.3 Attendance Monitoring

CATEGORY	TRIGGER	PERIOD	ACTION	RATIONALE
Attendance Monitoring Records	End of Academic Years	+ 6 Months	Destroy	Limitation Act 1980
Records of action taken as a result of a student reaching the attendance trigger point	End of Graduation or Withdrawal Year	+ 6 Years	Destroy	Limitation Act 1980; Data Protection Good Practice

2.3.4 Extenuating Circumstances

Northumbria University – Common Records Retention Schedule

CATEGORY	TRIGGER	PERIOD	ACTION	RATIONALE
Submissions, correspondence and evidence	End of Graduation or Withdrawal Year	+ 6 Years	Destroy	Limitation Act 1980; Data Protection Act 1998; Assessment Regulations

2.3.5 Assessed Work

CATEGORY	TRIGGER	PERIOD	ACTION	RATIONALE
Submitted coursework, examination scripts, major/final Years projects, dissertations <u>not</u> selected for samples	End of Current academic Years	+ 4 Months	Destroy	Good Practice
Student feedback not collected by student	End of Current academic Years	+ 4 Months	Destroy	Good Practice
Submitted coursework, examination scripts, major/final Years projects, dissertations selected for samples	End of Current academic Years	+ 5 Years unless specified longer by professional body	Destroy	Good Practice
Assessed Work Submitted via Blackboard or Turnitin	End of Current academic	+ 6 Years	Destroy	Good Practice

Northumbria University – Common Records Retention Schedule

	Years			
Registers for the submission of coursework	End of academic Years	+ 6 Years	Destroy	Limitation Act 1980
Examination administrative records including examination timetables, attendance records, appointments of invigilators, invigilation reports.	End of academic Years	+ 6 Years	Destroy	Limitation Act 1980

2.3.6 Programme Assessment Boards

CATEGORY	TRIGGER	PERIOD	ACTION	RATIONALE
PAB minutes - where marks have been put into student records system	End of academic Years	+ 6 Years	Destroy	Limitation Act 1980
PAB minutes - where they are the only source of transcript data	End of Graduation or Withdrawal Year	+ 80 Years	Destroy	To Provide Transcript Data

2.3.7 Exam Boards

CATEGORY	TRIGGER	PERIOD	ACTION	RATIONALE
Minutes of boards where records have been entered onto SITS.	End of academic	+ 6 Years	Destroy	To ensure information is available in the event of a query or dispute;

Northumbria University – Common Records Retention Schedule

	Years			Limitation Act 1980;
Minutes where they are the only source of transcript data	End of Graduation or Withdrawal Year	+ 80 Years		To provide transcript data for students; QAA Guidelines for HE Progress Files
Conferment lists	End of academic Years	+ 80 Years		To preserve evidence of the authority for the University's awards

2.3.8 Student Appeals

CATEGORY	TRIGGER	PERIOD	ACTION	RATIONALE
Records documenting the handling and results of academic appeals (including reports evidence and correspondence) by individual students under internal University process (Stage 1, 2 or 3 or OIA) where process completes prior to graduation.	End of Graduation or Withdrawal Year	+ 6 Years	Destroy	Limitation Act 1980
Records documenting the handling and results of academic appeals (including reports evidence and correspondence) by individual students under internal University process (Stage 1, 2 or 3 or OIA) where process completes post to graduation.	Last action on case	+ 6 Years	Destroy	Limitation Act 1980

Northumbria University – Common Records Retention Schedule

2.3.9 Student Complaint Records

CATEGORY	TRIGGER	PERIOD	ACTION	RATIONALE
Records documenting the conduct and results of informal complaints by students, where recorded.	Last action on case	N/A	Destroy	Limitation Act 1980
Records documenting the handling and results of formal complaints under internal University process (including reports evidence and correspondence).	Last action on case	+ 6 Years	Destroy	Limitation Act 1980
Referrals to the Office of the Independent Adjudicator where process completes post to graduation (including reports evidence and correspondence).	Last action on case	+ 6 Years	Destroy	Limitation Act 1980

2.3.10 Student Disciplinary Records

CATEGORY	TRIGGER	PERIOD	ACTION	RATIONALE
Files relating to students – where case does not lead to a formal investigation	Last action on case	N/A	Destroy	Limitation Act 1980
Records documenting the handling and results of disciplinary action relating to students on nonprofessional courses – where case	Last action on case	+ 6 Years	Destroy	Limitation Act 1980

Northumbria University – Common Records Retention Schedule

leads to an in formal investigation				
Files relating to students on professional courses – where case leads to a formal investigation	Last action on case	+ 6 Years	Destroy	Limitation Act 1980
Written warning on student record	End of Warning Period	12 Months or period specified by Disciplinary Officer	Destroy	University Regulations
Referrals to the Office of the Independent Adjudicator where process completes post to graduation.	Last action on case	+ 6 Years	Destroy	Limitation Act 1980

2.3.11 Student Accommodation Records

CATEGORY	TRIGGER	PERIOD	ACTION	RATIONALE
Applications for accommodation (where the applicant does not enter accommodation)	End of academic Years applied for	+ 3 Years	Destroy	Limitation Act 1980
Student accommodation record including accommodation agreements and allocation notices	Termination of accommodation agreement	+ 6 Years	Destroy	Limitation Act 1980
Medical disclosures and personal evacuation plans	Termination of accommodation agreement	n/a	Destroy	Business need

Northumbria University – Common Records Retention Schedule

Room inventories	Termination of accommodation agreement	+ 6 Years	Destroy	Limitation Act 1980
Withdrawal requests and written modifications	Termination of accommodation agreement	+ 6 Years	Destroy	Limitation Act 1980
Room checks – satisfactory	End of academic Years	+ 1 Years	Destroy	JISC Guidance
Room checks – unsatisfactory	Termination of accommodation agreement	+ 6 Years	Destroy	Limitation Act 1980
Letters served for damages	Termination of accommodation agreement	+ 6 Years	Destroy	Limitation Act 1980
Eviction files	Last action	+ 6 Years	Destroy	Limitation Act 1980
Minor disciplinary investigations and outcomes	Last action	+ 3 Years	Destroy	Data Protection
Major disciplinary investigations and outcomes	See: 2.2.5 Student Disciplinary Records			
Minor student complaints and outcomes	Last action	+ 3 Years	Destroy	Data Protection
Major student complaints and outcomes	See: 2.2.4 Student Complaint Records			
Records of security incidents	End of academic Years	+ 3 Years	Destroy	Data Protection

Northumbria University – Common Records Retention Schedule

2.3.12 Fitness to Practice Records

CATEGORY	TRIGGER	PERIOD	ACTION	RATIONALE
Where case does not lead to a formal Investigation.	Last action on case	N/A	Destroy	University Regulations
Cases investigated resulting in no further action.	Last action on case	N/A	Destroy	University Regulations
Cases investigated resulting in informal warning and action plan.	Last action on case	N/A	Destroy	University Regulations
Cases referred to FTP committee where no action is taken – minutes of the committee and outcome letter.	End of Graduation or Withdrawal Year	+ 6 Years	Destroy	University Regulations
Cases referred to FTP committee resulting in written warning.	End of Graduation or Withdrawal Year	+ 6 Years	Destroy	University Regulations
Cases referred to FTP committee resulting in other sanctions (undertakings, conditions, suspension, expulsion)	End of Graduation or Withdrawal Year	10 Years	Destroy	University Regulations

Northumbria University – Common Records Retention Schedule

2.3.13 Academic Congregation Ceremonies

CATEGORY	TRIGGER	PERIOD	ACTION	RATIONALE
Records documenting the organisation and administration of the ceremonies, including lists of, possible attendees and receipts for ticket payments.	End of academic Years	+ 1 Years	Destroy	Good Practice
Student ceremony records on SITS	End of academic Years	+ 1 Years	Destroy	Good Practice
Student certificate records on SITS	End of Graduation or Withdrawal Year	+ 80 Years	Destroy	Limitation Act 1980 and Student contract
Ticket payments – finance	Payment	+ 6 Years	Destroy	Limitation Act 1980
Graduation programmes	Event	N/A	Archive	Historic Records
Copies of key orations given at graduation	Event	N/A	Archive	Historic Records
Historical listings of all honorary graduates	Event	N/A	Archive	Historic Records

2.3.14 Student Sport Records

See: Records Retention Schedule > Section 3 - Sports Records

Northumbria University – Common Records Retention Schedule

2.3.15 Student Support Records

See: Records Retention Schedule > Section 4 – Student Support Records

2.3.16 Student References

CATEGORY	TRIGGER	PERIOD	ACTION	RATIONALE
References or refusal notice provided prior to End of Graduation or Withdrawal Year	End of Graduation or Withdrawal Year	+ 6 Years	Destroy	Limitation Act 1980
References or refusal notice provided after End of Graduation or Withdrawal Year	Provision	+ 1 Years	Destroy	Limitation Act 1980
Verification of awards	Requests to verify award	End of Years + 1	Destroy	Limitation Act 1980
Requests for replacement certificates, date of replacement cert	Provision	+ 1 Years	Destroy	Limitation Act 1980
Issue of replacement on sits	Graduation or withdraw	+ 80 Years	Destroy	Limitation Act 1980

2.3.17 Research Student Assessment

CATEGORY	TRIGGER	PERIOD	ACTION	RATIONALE
----------	---------	--------	--------	-----------

Northumbria University – Common Records Retention Schedule

Records documenting the conduct of formal assessments of work undertaken by research students	Completion of student's programme	+ 6 Years	Destroy	Limitation Act 1980
Records documenting awards and classifications, including reviews in response to notifications of mitigating circumstances or academic appeals.	Current academic Years	+ 6 Years	Destroy	Limitation Act 1980

2.3.18 Research Student Academic Supervision & Support

CATEGORY	TRIGGER	PERIOD	ACTION	RATIONALE
Records documenting the appointment of supervisors for research students.	Termination of appointment	+ 1 Years	Destroy	Good Practice
Records documenting academic advice and guidance to individual students on the selection of research subjects and on the progress and standard of their work	Completion of student's programme	+ 6 Years	Destroy	Limitation Act 1980
Records documenting the development and delivery of training in research-related skills	Current academic Years	5 Years	Destroy	Good Practice

2.3.19 Research Misconduct

Northumbria University – Common Records Retention Schedule

CATEGORY	TRIGGER	PERIOD	ACTION	RATIONALE
Case files on the investigation and resolution of allegations of research misconduct	Last action on case	+ 6 Years	Destroy	Limitation Act 1980