



Records & Information Management Service (RIMS)

Records Retention Schedule v2.0, November 2015

Teaching & Assessment records Senate Office

Section / Function	Records Series	Retain at office	Retain at Records Centre	Total retention	Fate	Notes
Assessed Material	a) Exam scripts, associated commentary and/or marks and grades	Completion of event + 6 months	Nil	Completion of event + 6 months	D(con)	Completion of event should be understood as the end of the academic session in which the content of the exam script contributes to a decision or result
	b) Coursework scripts and in-course examination scripts which are not returned to students	Completion of event + 6 months		Completion of event + 6 months		Departments are not required to retain copies of any coursework scripts that are routinely returned to students.

Section / Function	Records Series	Retain at office	Retain at Records Centre	Total retention	Fate	Notes
	Dissertations and student reports (including on work placements)	Either a) permanently, or b) retained in academic session of completion + 1 year	Nil	Varies	R	Each academic Subject must have a written policy specifying whether they are following a) or b), and who will be responsible for reviewing the records. It is likely that only dissertations written at postgraduate level will be selected for permanent preservation
	Exam papers (originals) -- written examination questions answered by students sitting a formal University examination	Nil	Nil	P	P	Originals sent to University Library. Electronic originals held within Documentum.
	Exam papers (copies)	Cay+6	Nil	Cay+6	D	Copies to be retained by academic department.
	External examiners' reports	Completion of course + 3 years	Nil	Completion of course + 3 years	D(con)	Originals must be stored in Senate Office. Copies may be retained for the same period by Deans or HoDs
	Reports of supervisors, internal and external examiners on theses for degrees by research	Completion of programme + 1 year	Nil	Completion of programme + 1 year	R	Reports to be retained by academic department and reviewed by Subject for continuing value. Some reports may be selected for permanent preservation

Section / Function	Records Series	Retain at office	Retain at Records Centre	Total retention	Fate	Notes
	Theses for degrees by research	Nil	Nil	P	P	Retained by the University Library. Both electronic and paper versions must be submitted.
Teaching Material	Course approval information, including: a) Consultation Forms b) Proposal Forms c) Course Specifications	Life of course + 3 years	Nil	Life of course + 3 years	D	Retained by College
	Course delivery information, including: a) Course Handouts a) Presentations b) Lecture Notes c) Workshop/ Seminar Documents d) Course Content Documents	Until superseded	Nil	Until superseded	R	Samples of delivery information may be retained permanently for historical purposes. Subjects should only retain the most recent version of course delivery information, except where there is a reason to retain previous versions (such as external accreditation requirements). Review of continuing value/retention is the responsibility of Subjects.
	Lists of students registered on a course and/or photographs of students on a course	Cay	Nil	Cay	D(con)	Retained by academic department
	Programme approval information, including: a) Business Plans b) Consultation Forms c) Proposal Forms d) Scrutiny group reports	Life of programme + 3 years	Nil	Life of programme + 3 years	D	Retained by Senate Office
	Programme Specifications	P	Nil	P	P	Retained by Senate Office

1. NOTES ON RECORDS RETENTION (ASSESSED MATERIAL)

1.1 *Retention of assessment scripts/associated commentary and/or marks/grades*

If the assessment does not contribute to an aggregated result¹ in a later session, all assessment scripts² and any associated comments sheet and/or marks/grades shall be retained securely in the academic unit responsible for the assessment during the academic session in which the examination was held plus six months.

Where the content of the script contributes to a decision at a later date, e.g. split Honours examinations, all scripts and any associated comments sheet and/or marks/grades shall be retained securely in the academic unit responsible during the academic session when the *aggregated* result is calculated plus six months.

When Schools/Research Institutes (RIs) retain samples of assessed material for purposes such as to provide data for review by professional bodies, the sample should normally be drawn from those contributing to final summative assessments from the senior years of the degree programme (e.g. years 3 and 4 for four year programmes). A minimum of 5% and normally not more than 20% of material should be retained, covering a full range of outcomes in proportion to those achieved by the student cohort. Academic Regulations Committee 23 January 2004, approved by Education Committee 18 February 2004.

Schools/RIs should also retain question papers and model answers (if they have been prepared) with the sample of scripts.

As agreed at Education Policy & Strategy Committee on 9 May 2007 Schools/RIs are responsible for issuing routine information to students on their performance (including examinations grades, marks, examiners' comments, etc.). See Note 2.1 for more.

1.2 *Retention of dissertations and student reports (work placements etc.): taught degree programmes*

In some academic areas, Honours (UG) and Masters (PGT) dissertations and reports are used by students and staff for the purposes of continuing research in particular areas or as guidance to other students on the standard required. They may therefore be of academic or archival value. Where this is the case Schools/RIs shall agree a policy for retention that should be in writing and shall be derived from the University Records Retention Schedule (otherwise Schools/RIs must confirm their adherence to the standard retention of one year after the academic session of completion):

www.gla.ac.uk/services/dpfoioffice/

Where a School/RI agrees to retain dissertations permanently, the Head of School/RI shall be responsible for managing public access to the dissertation, in consultation with the student and the main supervisor and with the School/RI's Freedom of Information Co-ordinator. Dissertations shall be retained securely.

Where dissertations and reports are not required indefinitely, the dissertation or report shall be retained for the academic session when the work was assessed plus one

¹ The term "aggregated result" is intended to include the classification of an Honours degree where there are split finals, the award of Honours or Commendation for programmes such as MBChB and BVMS. Where the award of designated degree is based on the GPA over the period of study, there is no requirement to retain scripts.

² "Assessment scripts" here refers to scripts from formal examinations, and any form of coursework script or in-course examination which is not returned to the student as a matter of course.

academic year. Thereafter the Head of School/RI shall be responsible for arranging that the dissertations and reports are securely destroyed.

1.3 Retention of examination question papers³

After the examination has been held, the School/RI shall retain a copy of the examination paper for six years in order to match the scripts (and model answers) that are retained.

After the examination has been held, the University Library shall retain indefinitely a paper version of each examination paper and an electronic version of papers for examinations held in the previous four academic years.

1.4 Retention of the reports of External Examiners on taught programmes and courses.

The Senate Office shall retain the original signed reports of External Examiners for the life of the course or programme of study and for five academic years thereafter, then securely destroy.

The Senate Office will send a duplicate of each report to the Head of College and the Head of School/RI/Course Co-ordinator with responsibility for providing the course or programme of study. Copies of reports are available to Colleges from the Senate Office and it is therefore not necessary for them to be retained in Colleges. However, Heads of College may permit Heads of School/RI/Course Co-ordinators to retain the copy of the report for a period of not more than five academic years or for the life of the course or programme of study (whichever is the shorter) and shall arrange for the copy to be securely destroyed thereafter.

1.5 Retention of reports of Conveners, Internal and External Examiners on theses for degrees by research.

Reports of supervisors, internal and external examiners shall be retained until the student's programme⁴ has been completed plus one academic year then disposed of. Reports should be retained in the School/RI in which the research was based or in the lead academic unit if the work was supervised in more than one location. Where the reports have been submitted to a Committee, the Committee should retain one copy for the completion of the programme plus one academic year – duplicate copies should be destroyed.

1.6 Retention of theses for degrees by research.

The University Library shall retain theses that have been approved for the award of a degree by research permanently, both in bound copy and electronic copy. It is therefore not necessary for Colleges to retain duplicate collections of theses, however Deans of Graduate Studies may permit Heads of School/RI/Course Co-ordinators to do in consultation with the author of the thesis⁵.

³ Prior to the examination being held, the academic department responsible for setting an examination shall retain securely the original of the examination paper.

⁴ A research degree programme is deemed to be completed when the viva has been held, any revision of the thesis has been approved and the appropriate committee has confirmed the award of the degree.

⁵ Although Departments commonly hold copies of theses, permission is required from the author who only has the right to restrict access in line with the exemptions given in the Freedom of Information (Scotland) Act 2002 to the thesis via the Library, as this guarantees a secure system of access to the thesis.

2. NOTES ON ACCESS TO RECORDS RELATING TO ASSESSED MATERIAL

2.1 Access to assessment scripts, associated commentary, marks sheets and/or marks/grades.

Students may request access to their assessment scripts², associated commentary, marks sheets and/or marks/grades by applying directly to the relevant academic area(s). Students may be asked to show their registration card when they request information in order to provide evidence of their identity. They should be made aware that at periods of high demand it may take several days to locate this information and make it available to the student.

Schools/RIs may divulge details of assessment results on individual student performance provided that the applicant is the data subject and that the information is released in person and confidentially to the student concerned. In releasing information in this manner, Schools/RIs should exercise extreme caution to ensure that any information given is not at variance with comments recorded on scripts, or in minutes of examiners meetings.

In cases where information on examination marks is requested before marks have been ratified by Boards of Examiners, Schools/RIs should follow one of the following two options:

- **If** the Board of Examiners is scheduled to meet within 40 calendar days of the student's request for information on assessment marks, the information can be released **after** the Board of Examiners meeting, but Schools/RIs must advise students when they can expect to have access to the information.
- Otherwise, Schools/RIs should provide the information straight away i.e. before the Board of Examiners meeting, but they **must indicate that the marks are provisional**.

Students should only submit a subject access request (SAR) to the Data Protection Office for assessment information if they require their personal file, minutes of examiners' meetings, or advice on data protection issues; or where more complex DPA issues are evident. For further guidance see:

www.gla.ac.uk/services/dpfoioffice/

2.2 Access to dissertations, student reports (work placements etc.), portfolios and other assessed work: taught degree programmes.

The Head of School/RI shall provide access to dissertations, reports etc. held in the School/RI in consultation with the local Freedom of Information Co-ordinator. Any information held by the University is covered by the requirement to disclose under Freedom of Information legislation, unless one or more of the exemptions apply. **Any personal data relating to identifiable individuals held within a dissertation or report is likely to be exempt under section 38 of the Freedom of Information (Scotland) Act 2002 and must not be disclosed without contacting the University's Data Protection Officer for advice.**

The ownership of any intellectual property rights to information within the dissertation is irrelevant to the requirement to disclose under the Freedom of Information (Scotland) Act 2002. A statement that should be used to draw any applicant's attention to the fact that copyright subsists in the dissertation can be found here:

www.gla.ac.uk/services/dpfoioffice/

Markers' comments or the grade awarded should not appear on information released under the Freedom of Information (Scotland) Act 2002. The Head of School/RI shall

consult the Data Protection Office prior to redacting information and providing access to the dissertation or report.

2.3 *Access to examination papers*

After the examination has been held, access to the examination papers⁶ of that academic session and the previous four academic years can be obtained electronically from the University Library:

www.gla.ac.uk/services/library/subjectssupport/helpguides/exampapers/

Print copies for the previous four years examination papers are also available for consultation in the University Library. Access to print copies of earlier examination papers can be obtained upon arrangement with the Duty Archivist (enquiries@archives.gla.ac.uk):

www.gla.ac.uk/services/library/subjectssupport/helpguides/exampapers/

Access to examination papers which relate to examination diets which have not yet been held, shall be restricted to relevant members of staff.

2.4 *Access to the reports of External Examiners on taught programmes and courses.*

The Senate Office shall be responsible for providing a copy of the report of an External Examiner in response to a request under the Freedom of Information (Scotland) Act⁷. If the request is a subject access request under the Data Protection Act, the Data Protection Officer shall be responsible for providing the copy. A copy of a report of an External Examiner shall not be provided by any other office or by an academic area.

If the report contains personal data concerning an identifiable student or students, the Data Protection Office shall be responsible for redaction of that information.

2.5 *Access to reports of Conveners, Internal and External Examiners on theses, portfolios and other assessed material for degrees by research*

The Data Protection Officer shall be responsible for determining if access to reports of supervisors, internal and external examiners on work in progress or to work submitted for examination shall be provided in response to a subject access request.

2.6 *Access to theses, portfolios and other assessed material for degrees by research.*

Access to a thesis, portfolio or other assessed material shall be provided by the University Library in accordance with the conditions stated by the student or graduate at the time of deposit. Further information on accessing Glasgow University Theses can be found here:

www.gla.ac.uk/services/specialcollections/collectionsa-z/universityofglasgowthesis/

⁶ Access will not be provided to some multiple-choice examination papers or to MBChB papers.

⁷ The letter of appointment of an External Examiner includes the statement "As this report might be required under the Freedom of Information Act, it is recommended that you should write the report on the assumption that it may be disclosed when requested. We would also request that you do not identify individual students within the report."

Terminology⁸

Academic session	A period of study normally beginning in the autumn and lasting for two semesters.
Academic year	Normally the 12 months from the beginning of an academic session.
Assessed material	Material (either written or otherwise) that has been judged to determine the standard of attainment for a grade or classification of degree. It includes class work where this contributes to the final assessment.
Course	A unit of study on a particular topic with defined aims, intended learning outcomes, mode(s) of delivery, assessment scheme and credit value.
Disposition	The point at which records are either transferred to the University Archives or destroyed.
Programme of study	The defining set of courses which lead to an award.
Redaction	The process of obscuring or 'blacking out' information from a record.

Data Protection & Freedom of Information Office

⁸ With the exception of 'redaction' the following terms are all included in the Glossary of Terms approved by Education Committee March 2004.