Dear

Freedom of Information Response (Our Ref: K/20/207)

Thank you for your Freedom of Information (FOI) request dated 27 May 2020, reference K/20/207.

Your request sought information regarding our Information Governance and Records Management policies and procedures and was set out in the form of a survey.

The University of Leeds holds some of this information. We have responded to each of your questions in turn below.

1. Does your University have one or more of the following policies (tick the box for each one you have)
   - Information Governance Policy
   - Information Security Policy
   - Data Protection Policy
   - Records Management Policy
   - Student Applications Policy
   - Student Admissions Policy

The University of Leeds has a range of policies and information documents which cover the areas you have set out above, although the names do not necessarily align with your list. We have set these out below and provided web links to the policies where available, in the hope that this is helpful.

   - Data Protection Code of Practice
   - Information Protection Policy
   - Retention Policy for Student Data
   - Undergraduate Admissions Policy (including supplementary admissions policies)
   - Information Management Guide
   - Managing Electronic Data webpage

You can find a list of other relevant documents and resources on our Data Protection web pages.

2. Does your admissions team have a fully documented set of procedure(s) that defines the processes used to manage your admission records

We are not clear whether this question relates to the practical process of managing admissions records or the regulatory requirements of managing admission records.
In terms of practical, ‘how to’ guidance, we have CRM processes documented at service level, manuals for the use of Banner (the system used to manage student records) and local faculty/Taught Admissions process documents.

In terms of regulatory requirements, i.e. the rules associated with processing admissions data, we have defined business rules relating to the management of admissions records.

3. Are there any other policies that you are aware of that also address any other aspects of the management of student records?

Please refer to the Data Protection webpages referenced above, and the Student Contract.

4. Approximately, how many staff are employed in the management of student information and records on a day-to-day basis (i.e. as the bulk of their role)?

With regards to the clarification surrounding question 4, the question seeks information related to the staff who on a day to day basis are handling/managing student information and records, even if it does not take up much of their time regularly as long as it is an important part of their job.

Approximately 800 members of staff are regular users of the Banner system. Please note that some of these users will have view-only access and therefore will not be updating information.

5. Approximately, how many registrations did you receive in the last academic year (e.g. 2019/20)?

The number of students registered to date in 2019/20 is 46,329 (43,206 taught students, 3123 research postgraduate students)

6. Does the University hold any accreditation for Information security (e.g. ISO27001, CyberEssentials)?

Yes; ISO 27001 and NHS Digital DSPT

7. Does the University employ a permanent, full-time Records Manager?

No. However, we do employ someone in the role of “Head of Data”. This role is similar to the role of a Records Manager.

8. What is the relationship between the University Records Manager and the admissions team?
   - None
   - Advisory - The Records Manager provides reactive support, when requested
Advisory - The Records Manager provides proactive support on a regular basis
Directly - The Records manager is directly involved in the management of admission records
Other

As we do not employ a Records Manager, our answer to this question is ‘not applicable’.

9. Does your admissions team rely upon support from a central IT team or do you have dedicated IT staff or database administration staff within your own department?

IT support is provided by our centralised IT team.

10. What system(s) is/are used by the University to store and process its student application/admission records?

Banner

11. Does the University have a dedicated document or records management system for other administrative records and if so, which one(s) e.g. MS-SharePoint, Documentum, Livelink, Box etc

The University does not have a single dedicated document or records management system. We use various solutions including (but not limited to): Documentum, SharePoint, OneDrive and shared network storage areas.

12. Does the University maintain an archive of both physical and electronic student records?

Some physical sets of student records are maintained as part of the University archive. Details are available via the online catalogue: LUA/ADM/039

13. Do you employ an Archivist to manage the University Archive or is this undertaken by the University Records Manager?

The University Archive is managed by the University Library, Special Collections division. The University Archive collection is managed by an Archivist.

14. Do you have a University-wide records retention schedule?
15. If so, does it include student admissions records, or is their retention managed differently?

We address these questions together. We have a University-wide retention schedule which includes student admissions records.

16. Is the records disposal schedule automated or is it a manual process?

A manual process.

17. How rigorously is your retention schedule adhered to?
The Freedom of Information Act gives you the right to request recorded information from public authorities. We do not understand what recorded information you are seeking at this part of your request. Accordingly, we have been unable to identify any recorded information relevant to this question.

18. Does your Admissions Team share student-related information (documents, records, or data) with other departments and third parties?
19. If so, how is access to such information controlled within the University?
20. If so, how is access to such information controlled when distributing it externally?

We address these questions together.

Applicant documents, records and data are used for the purposes of admissions. We send and receive applicant information to and from UCAS as part of the UCAS application process. UCAS applicant data is received and sent via a secure data transfer.

We also share data with the Office for Students (OfS), the Higher Education Statistics Agency (HESA) and Education and Skills Funding Agency (ESFA) for a number of statutory returns including the Higher Education Student Early Statistics (HESES) survey; the Transparency return; the HESA Student Record; and the Individual Learner Record. Data forwarded to the OfS is usually part of an aggregate return whilst individualised records are submitted to HESA and the ESFA. Information is used in compliance with data protection legislation. All data are stored in secure folders on the University network with access controlled so only those authorised to process the data can access it. The statutory bodies provide secure means of transferring data through extranet systems. Access is controlled through identity systems and is granted to authorised users only by Strategy and Planning. Each user has their own log in account, the University reviews user access periodically.

We provide links to student collection notices and privacy statements as part of the on-line registration process. Students have to accept these to enable them to register as a student of the University of Leeds. The collection notices set out how those bodies that act as data controllers and data processors in relation to the data we are required to submit.

21. Is there a risk management or compliance monitoring department or group within your university?

Yes, there is a risk management department at the University, headed by our Director of Risk Management. Compliance activities are undertaken by a number of different departments depending upon the specific area of compliance.

22. If so, how frequently do they review/audit the activities of your Admissions function in relation to admission records?
   • More than once a year
   • Annually
   • Every 1-2 years
• Other

The Internal Audit team (which is outsourced to PricewaterhouseCoopers) conduct regular audits of the Admissions function, including a bi-annual review of the fee charging mechanism as part of their financial audit programme, and conduct audits of parts of the admissions process and admissions records on a frequent basis (every 1-2 years).

23. If you were able to make one change to significantly improve how your University manages its Student applications/admission records, what would that improvement be?

As this is a request for an opinion, we do not hold any recorded information relevant to this question.

We hope this information is helpful. If you have any questions about this email, however, please do not hesitate to contact us on foi@leeds.ac.uk

If you are unhappy with the service you have received in relation to your request and wish to make a complaint or request a review of our decision, you can request an Internal Review. Requests for Internal Review should be made in writing using the following contact information:

Post: Mr D Wardle
Deputy Secretary
The University of Leeds
Leeds
LS2 9JT

Email: foi@leeds.ac.uk

Requests for Internal Review should be submitted within 40 working days of receiving the University's response to your request. Further information about how the University manages Freedom of Information requests and about our complaints procedure is also available on our website (www.leeds.ac.uk).

If you are not content with the outcome of the internal review, you have the right to apply directly to the Information Commissioner for a decision. Generally, the ICO cannot make a decision unless you have exhausted the review/complaints procedure provided by the University. The Information Commissioner can be contacted at: Information Commissioner’s Office, Wycliffe House, Water Lane, Wilmslow, Cheshire, SK9 5AF.

Kind regards

Chloe Wilkins
Freedom of Information Officer

Secretariat
University of Leeds