Student Records Retention Schedule

Introduction

A Records Retention Schedule is a control document that sets out the periods for which an organisation's business records should be retained to meet its operational needs and to comply with legal and other requirements.

A Records Retention Schedule is an essential component of an efficient and effective records management system. A properly implemented and consistently applied Record Retention Schedule protects the interests of the organisation and its stakeholders by ensuring business records are kept for as long as they are needed to meet operational needs and to comply with legal requirements, and are then disposed of securely.

The Records Retention Schedule consists of the following:

Description of Records

For each business activity, the schedule lists common groups of records which relate to individual sub activities or processes.

Retention Period

Statutory retention periods are the stipulated time period that a document is retained until it is securely disposed of. Retention periods are set by legislation and business best practice.

Citation

Citations are given for key Acts of Parliament, Statutory Instruments and regulations which are relevant to determining retention periods for the groups of records concerned.

Abbreviations

Enclosed below is a list of abbreviated terms used in the Retention Schedule:

- **CAY** Current Academic Year
- **CFY** Current Financial Year
- **CTY** Current Tax Year
- **D** Destroy
- **P** Retain Permanently
- **R** Review for Archival value or ongoing business need
- **JISC** Joint Information Systems Committee

How does it Work?

The Retention schedule works by imposing a set of trigger points at which a decision is made. The trigger points are set by legislative and business requirements which determine how long a record can be maintained. A trigger point can be activated when a record is created for a purpose where the retention period is set out by legislation and is required to be maintained for a specified period of time. Or a trigger point can be activated once a record is used less frequently in the office and therefore requires transfer to off-site storage. At any point where a decision is required on the maintenance of a record then a trigger point is activated and this will result in either the records permanent preservation or its secure destruction.

This schedule is based on the JISC study Lifecycle of a Record, which includes a generic retention schedule for Higher Education institutions.

1. Student Administration and Support

1.1 Student Admission and Enrolment

The activities involved in admitting students to the University of Westminster including:
- Determining and applying admissions criteria
- Handling applications for admission
- Administering the clearing process
- Managing overall student numbers
- Confirming payment of fees

Record Description	Record Type	Retained by	Retention Period	On Site	Off Site	Action	Citation	Notes
Admission and Enrolment	**Application Data** (Includes P/T courses, UCAS data, UKPASS data.)					D	Data Protection Act 1998	Hard copy application forms are now an exception
	Enrolled Applicants (Includes data held in hard copy and digital formats)	Admissions	Completion of study/ end of relationship with University +6 years Where this cannot be determined, Current Year +11	-	6	D	UoW Guidance - Admissions	
				-	11	D	JISC	
							Limitation Act 1980	
	Non-enrolled	Admissions	End of Admissions Cycle +1	1	-	D		

Record	Owner	Retention				Legislation	Notes
Digital records held in the SRS (enrolled and non-enrolled)	Admissions	5 years	5	-	**D**		To identify fraudulent applications
Enrolment Forms Part 1	Faculty Registry	Completion of study/ end of relationship with University +6 years Where this cannot be determined Current Year +11	- -	6 11	**D** **D**	Limitation Act 1980 Data Protection Act 1998 Taxes Management Act	
Part 2	Finance - Financial Accounting	CFY+6	1	5	**D**		
Assessment of external qualifications APCL	Admissions	Completion of study/ end of relationship with University +6 years	-	6	**D**	Data Protection Act 1998 Limitation Act 1980	Credit bearing
APEL	Quality & Standards	Completion of study/ end of relationship with University +6 years	-	6	**D**		

	Records Supporting applications for admission **To include:** Criminal Record - Checking process, to include declaration; and Outcomes	Admissions						Data Protection Act 1998	Sensitive Personal Data
	Enrolled		5 years	1	4	**D**		
	Non-enrolled		Enrolment + 6 months	+ 6 months	-	**D**		
	Tier 4 - Identity and Visa documents; and Qualification documents	Admissions	6 years	1	5	**R**	UKVI guidance	
	Fee Status Records	Admissions	CAY +2	CAY	2	**D**		
Maintenance of individual student records (hard copy)	**Hard copy student records to consist of core student information:**	Created, amended and maintained by Faculty Registries, Admissions, Students	Completion of study/ end of relationship with University +6 years	-	6	**D**	Data Protection Act 1998	**Student files prior to 1994 to be retained where they contain:**
	Full Student Module profile; Transcript data; Pass list data by module (Subject	(And other units responsible for	Where this cannot be determined Current Year +11	-	11	**D**	JISC	**Personal Details; Full Student Module profile; Transcript data; Pass list data by**

	Board) and award (Conferment Board)	administering students)					Limitation Act 1980	**module (Subject Board) and award (Conferment Board)**
Maintenance of individual student records from 1993 (SRS)	**Digital student records as maintained in the SRS to consist of core student information:** Personal Details; Full Student Module profile; Transcript data; Pass list data by module (Subject Board) and award (Conferment Board)	Created, amended and maintained by Faculty Registries, Admissions and Recruitment, Marketing, Students. (And other units responsible for administering students)	**Permanent** Full Student Module Profile (internal transcript data), External Transcript Data; Pass List Data by module (Subject Board) and award (Conferment Board)	**P**	**-**	**P**	Data Protection Act 1998 Freedom of Information Act 2000 JISC	Student Module Profile, Final Transcript and Pass List Data to be permanently preserved – University duty to provide proof of qualifications and required under the QAA guidelines on Progress Files.

	Records documenting the withdrawal of individual students from the Institution Includes withdrawal emails and letters	Faculty Registry	End of relationship with University +6 years	-	6	**D**	Limitation Act 1980 JISC	
Withdrawn Students								
Student financial details	**Records relating to payment of fees**	Finance	CFY +6	1	5	**D**	Limitation Act 1980 Data Protection Act 1998	
	Student bank account details	Finance	Until information no longer needed for the purpose it was collected for	-	-	**D**	Data Protection Act 1998	

1. Student Administration and Support

1.2 Complaints and Disciplinary Procedures

The activities involved in conducting disciplinary proceedings against students for breaches of the institutions academic regulations activities include:
- Investigating allegations
- Informing students of disciplinary decisions and imposing penalties
- Considering appeals by students against disciplinary decisions or penalties imposed

Record Description	Record Type	Created/ Retained by	Retention Period	On Site	Off Site	Action	Citation	Notes
Complaints and Disciplinary procedures	**Student complaints** where formal procedures **are** initiated (Hard copy and digital records): Complaints files	Student Affairs	Last action on case +6 years	1	5	**D**	Data Protection Act 1998 Limitation Act 1980 JISC	Files contain sensitive personal data
	Student complaints where formal procedures are **not** initiated (Hard copy and digital records):	Faculty Registry	Last action on case +3 years	1	2	**D**		
	Student Disciplinary records	Quality and Standards	Last action on case +6 years	1	5	**D**		
Mitigating Circumstances	Hard copy records relating to mitigating circumstances claims by individual students	Faculty Registry	5 years	1	4	**D**		

	Digital records relating to mitigating circumstances claims by individual students held in the SRS (supporting evidence)	Faculty Registry	Records kept until student graduates	1	Remaining	**D**	
Assessment Offences	Hard copy and digital records relating to Assessment Offences	Stages 1 - 3 - Quality and Standards	Last action on case +6 years	1	5	**D**	Data Protection Act 1998 Limitation Act 1980 JISC

2. Assessment

2.1 Assessment Administration

The activities involved in administering the conduct of assessments. Assessments include examinations, tests and assessed work (e.g. dissertations, theses, work placement reports) for both taught and research programmes.

Record Description	Records Type	Created/ Retained by	Retention Period	On Site	Off Site	Action	Citation	Notes
Coursework	Coursework submitted as hard copy	Students/ Faculty Registry/ Academic Faculty	CAY +1	CAY+1	-	**D**	JISC	After allocation of marks coursework should be collected by students Sample of coursework should be maintained for QAA audit purposes
	Coursework submitted digitally e.g. via Blackboard	Students/ Academic Faculty	CAY +2	CAY +2	-	**D**	UoW processes	
Examinations	Marking of Examinations Examination Scripts/ Assignments	Faculty Registry	CAY+1	CAY+1	-	**D**	JISC	
	Examiners' Reports	Quality and Standards	CAY +5	CAY+1	+4	**D**	JISC	

	Exam attendance records and incident forms	Faculty Registry	CAY +1	+1	-	**D**	Data Protection Act 1998 JISC	For audit and/or complaint purposes
	Records documenting general exam correspondence with students	Faculty Registry	CAY +1	+1	-	**D**	JISC	
Awarding of Marks	Examination Board Files Conferment Board	Faculty Registry	Permanent	Up to 5	P	**P**		To be retained in their entirety permanently
	Subject Board - To include raw marks	Faculty Registry	Permanent	Up to 5	P	**P**		To be retained in their entirety permanently
	Confirmation of award at postgraduate level	Graduate School Registry	Permanent	Up to 5	P	**P**		To be retained in their entirety permanently