Heritage and Information Governance
Retention Schedule documenting the applicant/student lifecycle

All retention periods indicated are the maximum required by law or by "best practice". Records may be transferred to the University's Records management System rather than being retained within individual offices.
Where Permanent Retention is indicated, contact Heritage & Information Governance for advice on transferring records to the University Archive.

1.0   Assessment Records

1.0	Assessment Records	Retention Period	Responsibility/Owner	Notes	Disposal Action
1.1	The following all have the same retention period a) Exam scripts, associated commentary and/or marks and grades b) Coursework scripts and in-course examination scripts which are **not** returned to students c) Student reports (including on work placements) Other records documenting the conduct and results of external reviews and audits of teaching quality and standards	'Completion of event' + 4 months; maximum 1 year Samples and other records required for review by accrediting body or quality review e.g. ELIR: completion of the following review. The Academic Registrar and HIG will be informed of the retention protocol as required for each accrediting body.	School Each School will agree a protocol with their accrediting bodies to retain a sample of between 5 and 20% of scripts or other examined work for the relevant quality review by that body.	'Completion of event' is the date of decision of the relevant Progression/Award/Resit Board or when the deadline for student appeals for the relevant diet has passed. Where a student has submitted an appeal, the retention policy for appeals applies. Schools are not required to retain copies of any coursework scripts that are routinely returned to students. SAS holds the central record of student marks and grades	Destruction
1.2	Taught masters dissertations (see also 3.5 Academic Appeals)	'Completion of event'· + 1 year Each School should have a written retention policy which is made known to all students and potential users.	School	See above HIG may liaise with Schools and Information Services to select a representative sample for the University Archive.	Destruction

1.0   Assessment Records (continued)

1.0	Assessment Records	Retention Period	Responsibility/Owner	Notes	Disposal Action
1.3	Exam papers (written examination questions answered by students sitting a formal University examination)	Permanent - Samples?	School IS: Library	Originals to be stored in the University Library. Duplicate collections of examination papers may be retained by School for up to 6 years	Permanent Retention
1.4	External examiners' reports on courses and/or programmes: a) Summary Report to University's Quality and Standards Committee b) detailed report	a) permanently as part of QSC records b) To be agreed with AR and Head of Academic Quality: CAY+ 6 or Completion of course + 5 years/ Following subsequent ELIR report	Academic Registrar	Originals retained by Academic Registrar/Head of Academic Quality: Shared with Schools, Deans and the Deputy Principal (Learning and Teaching), and Chief External Examiner Part of Advance Information Set, submitted to QAA for HWU's ELIR (Enhancement-Led Institutional Review)	a) Permanent Retention b) Destruction
1.5	Reports of supervisors, internal & external examiners on theses for degrees by research for individual students	End of relationship plus 1 year	School	Some reports may be selected for permanent preservation	Review Copies are currently retained within individual student files
1.6	Theses for degrees by research: all Doctoral and Masters research awards	Permanent	IS: Library	Students must now submit both an electronic and a print copy of their thesis. Both copies are retained permanently at present.	Research Output Service (ROS, the University's institutional repository for published research outputs)
1.7	Awards Records including issue of awards letters, prize letters, transcripts, etc.	Permanent	School Registry Services HIG	Part of Core Student Record NB: Only the most recent transcript needs to be retained.	Permanent Retention

2.0   Teaching Records

2.0	Teaching Records	Retention Period	Responsibility/Owner	Notes	Disposal Action
2.1	Collaborative programmes including Memoranda of Understanding and Memoranda of Accreditation	'Life of programme' + 5 years	Academic Registrar	'Life of programme' is the duration of time for which a course is in existence	Destruction
2.2	Programme and course approval information, including: a) Proposals b) Business Plans* c) Consultation Forms* d) Scrutiny group reports* e) Specifications	'Life of programme' + 5 years Approved courses and/or programme: Permanent retention	Academic Registrar Schools School Studies Committee, USC or PSC School approves, then HWU approves	'Life of programme' is the duration of time for which a programme is in existence Records held in Programme Approvals Management System. (PAMS)	Destruction Purge of records from PAMS to be agreed PAMS archiving plan to be agreed for records to be retained permanently from session 2015/16
2.3	Course delivery information, including: a) Course Hand-outs a) Presentations b) Lecture Notes c) Workshop/ Seminar Documents d) Course Content Documents	Until superseded by another version	School HIG	Samples of delivery information may be retained permanently in the University Archive for historical purposes by arrangement with HIG. Schools should only retain the most recent version of course delivery information, except where there is a reason to retain previous versions locally (such as external accreditation requirements).	Review
2.4	Lists of students registered on a course provided to an academic and/or photographs of students on a course generated from Banner	Current academic session	School	This refers to documents, **not** the original data which is retained within Banner	Destruction
2.5	Appointment of External Examiners and/or Approved Teachers/Tutors/Markers (including ALPs)	End of appointment + 1 year	Registry Services Schools	Original documents held by Registry Services. Copies may be retained by Schools to meet their own needs.	Destruction
2.6	Internal Academic Reviews	Completion of next review	Registry Services Schools		Destruction

* These records are not retained within PAMS

3.0 Administrative Records

3.0	Administrative Records	Retention Period	Responsibility/Owner	Notes	Disposal Action
3.1 Recruitment	Recruitment: Handling enquiries from prospective students who do not apply	Completion of admissions cycle plus 6 months	Student Recruitment	Purge of records held in Student Recruitment Customer Relationship Management System (SR CRM) , SAS Document Upload Facility and any ancillary systems	Entry point + 6 months: Deletion/Destruction
	Recruitment: Handling of applications for admission: unsuccessful applicants (for whatever reason)	Completion of admissions cycle plus 6 months	Student Recruitment Registry Services		Destruction
	Anonymised data extracted for reporting purposes	TBC	Student Recruitment		Destruction?
3.2 Admissions	Admissions: Development & establishment of admissions criteria	Superseded + 10 years Admissions policy: permanent	UGC, PSC, Schools	Records in SR CRM, SAS and DUF - transferred to School on enrolment - part of Core Student Record. To be agreed with Systems Manager	Destruction
	Admissions: Handling of applications for admission: successful applicants	Permanent	Registry Services (Admissions), School HIG		Permanent Retention
3.3 Student Records Management	Student Records: Enrolment of individual students on programmes	Permanent	Registry Services, School, HIG	All indicated for permanent retention form part of the Core Student Record. This comprises records in SAS and official student record file held by School*	Permanent Retention SAS: electronic archiving to Archive version of SAS: timing to be agreed (6 years after leave date in tandem with purge of ephemeral records)
	Academic progress of individual students & formal action taken by the University to deal with unsatisfactory progress	Permanent	Registry Services, School, HIG	Banner record starts when the application process completes i.e. when prospects are enrolled.	
	Transfer of individual student to a new programme or course within the programme or between campuses	Permanent	Registry Services, School, HIG	'End of relationship' is the date on which the relationship ends, whether through graduation, withdrawal or other reason	Schools to transfer paper or e -student files to HIG one year after leave date
	Withdrawal of individual students from University	Permanent	Registry Services, School, HIG		

*See Student Records Management Policy for definitions http://www1.hw.ac.uk/registry/resources/studentrecordsmanagement.pdf

3.0   Administrative Records (continued)

3.0	Administrative Records	Retention Period	Responsibility/Owner	Notes	Disposal Action
3.3 Student Records Management (continued)	Schools records of individual student progress and administration that do not affect the final award	Permanent	Registry Services, School, HIG	Only retain if this differs from the information held centrally on Banner	Permanent Retention
	Confirmation of ability to pay fees, submitted as part of the application process (see also 3.7 Finance)	'End of relationship' plus 6 years	Finance Office, Academic Registrar, HIG	Before transferring student files to HIG, School Directors of Administration will ensure that all such information is filed in a separate and clearly identified sub-folder of the main file or in a separate sealed envelope. HIG staff will then remove these sub-folders or envelopes and arrange for their confidential destruction 6 years after the student has left the University.	Destruction
	Attendance records, including compliance with mandatory Home Office Tier 4 contact points where relevant	'End of relationship' plus 6 years	Registry Services, Schools		Destruction
	Information on any matter relating to attendance, progress or discipline which does not result in a student being required to withdraw or have their award rescinded, including correspondence with the student (see also 3.4 Discipline and 3.5 Appeals)	'End of relationship' plus 6 years Includes TSS, TVW and change of mode	Registry Services, Schools	Records in SAS: destruction in annual purge each November HESA Questions Protected characteristics Visa/Passport - Tier 4	Destuction
	Information on health and welfare, inc. correspondence with the student	'End of relationship' plus 6 years e.g. Medical Certificates	Registry Services, Schools Student Service Centre	Email account deleted after 1 year.	Destruction
	Mentoring records (provided by academic mentors at year end) including PhD Annual Appraisals	'End of relationship' plus 6 years	Schools		Destruction

3.0 Administrative Records (continued)

3.0	Administrative Records	Retention Period	Responsibility/Owner	Notes	Disposal Action
3.3 Student Records Management (continued)	Home and semester addresses and contact information, other than those provided at application and the last known address at the point of the award; emergency contact details	'End of relationship' + 6 years	Registry Services, Schools	'End of relationship' is the date on which the relationship ends, whether through graduation, withdrawal or other reason	Destruction
3.4 Discipline	Conduct and results of disciplinary proceedings against individual students (Category A offences)	'Last action on case' + 6 years	Academic Registrar, IS (IT- related), Estate Office (traffic)	'Last action on case' is the date on which proceedings end, whether through graduation, withdrawal or other reason	Destruction
	Conduct and results of disciplinary proceedings against individual students (Category B offences)	'Last action on case' + 6 years	Schools		Destruction
3.5 Appeals	Academic Appeals: Handling of Stage 1 academic appeals and their result.	'Last action on case' + 6 years	Schools	'Last action on case' is the date on which proceedings end, whether through graduation, withdrawal or other reason	Permanent retention
	Handling of Stage 2 academic appeals and their results	'Last action on case' + 6 years	Academic Registrar		Permanent retention
3.6 Complaints	Academic Registrar: Handling of complaints by individual students	'Last action on case' + 6 years	Academic Registrar Student Service Centre	'Last action on case' is the date on which proceedings end, whether through graduation, withdrawal or other reason	Destruction
3.7 Finance	Financial Records: Including but not only Accommodation Fees, Bursaries, Financial Guarantees, Hardship Funds, Scholarships, Sponsorships, Tuition Fees	Successful applications: 'Last action on case' + 6 years Unsuccessful applications: 'Last action on case' + 1 year	Finance Office Student Service Centre	'Last action on case' is the date on which the relationship ends, whether through graduation, withdrawal or other reason	Destruction

3.0   Administrative Records (continued)

3.0	Administrative Records	Retention Period	Responsibility/Owner	Notes	Disposal Action
3.8 Student Services	Student Services Records including records of dealings with International Student Office, Student Service Centre, Student Support and Accommodation Service, Counselling, Disability Advice, Careers Service etc.	Routine customer enquiries: end of academic year plus 2 years Individual case files: Last action on case + 6* years	School Careers Service Registry Services Student Service Centre	'Last action on case' is the date on which the relationship ends, whether through graduation, withdrawal or other reason Definitions of *routine* and *case files* to be agreed with AR services	Destruction Destruction
3.9 Quality Audit & Reviews	Quality & Standards Audits and Reviews Conduct & results of internal Quality Audits and action taken to address issues raised Attainment & maintenance of the institution's accreditation under established quality management schemes	 Completion of Audit + 3 years Termination of accreditation + 1 year	Senate, PSC, UGSC, QSC, DP L&T, Registry Services, Schools	Senate has ultimate responsibility for these processes and has delegated the operational aspects to 3 key committees viz. Quality & Standards, Postgraduate Studies and Undergraduate Studies. Registry Services should hold the 'golden copies' of all audits and reviews.	 Destruction Destruction

*See Student Records Management Policy for definitions http://www1.hw.ac.uk/registry/resources/studentrecordsmanagement.pdf