Student Records Management Policy and Retention Schedule

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Records retention and disposal is the process by which the London School of Business and Management (the Institution) decides whether records that are no longer current should be destroyed or transferred to the archive. All Institution records fall into three categories:

- Current (when data may be added to the record);
- Semi-current (when the record has been closed but is used as a reference tool for administrative purposes);
- Archived (when it has been selected for permanent retention).

Policy Context and Summary

Student files must be retained in accordance with the Data Protection Act 1988 and the Limitation Act 1980. The former Act protects students' personal data by ensuring that it is not held longer than necessary, while the latter Act provides the ability for students to sue for negligence up to six years after leaving the Institution.

While a student remains at the Institution, their file is considered to be 'current'. Once departed (either through graduation or withdrawal), their file becomes 'semi-current'.

It has been the Institution's policy that only electronic academic records will be made generally available (access rights apply) and referenced on a day to day basis from April 2012. Hard copy academic current files will be accessible but not routinely referenced or scrutinised any longer. Hard copies of academic files will be placed into storage immediately after being electronically copied. Electronic student files will be stored on the Institution's network with secure access. Current student administrative files will be retained in hard copy in the main filing area but also stored electronically within the Oracle SRS. Records retention practises described in this policy will apply equally to retained hard and soft copies.

Current Student Files

Through the recruitment and admissions process, a student file is created ahead of first enrolment. There are two distinct and separate sections to this file – academic related and administrative related.

After the completion of the enrolment process, student files are typically maintained on the Oracle SRS. Typical information added to the record during a student's time at the Institution includes:

Administrative

- Enrolment Form and module information
- Summary of academic performance
- UKVI related documents
- Passport and visa documents
- Change of personal details information
- Data relating to debt
- Withdrawal/suspension/transfer forms
- Correspondence with funding bodies
- Correspondence with the student

Academic

- Academic progress data
- Transcripts

- Data relating to any academic disciplinary offences
- Correspondence with tutors concerning the student

Semi-Current Student Files

At the end of the academic year in which the relationship between the student and the Institution terminates, the status of the file changes to 'semi-current'. The procedures that are set out below describe how the Institution manages files. A robust permanent academic record of a student's time at the Institution will be maintained on the Student Records Database (Oracle) which includes data on a student's identity, years of study, together with marks and final degree classification. Over the long term, this information and a skeleton electronic and hard copy file of essential reference data will be the only data kept.

Procedures for the management and storage of files relating to departed graduate students:

- At the end of the first academic year after the termination of the relationship, the file will be pruned in accordance with the pruning procedures set out below within Archiving Procedures and stored as a semi-current record for a further five academic years.
- At the end of the five academic year period, all files will undergo a final pruning exercise and the remaining data will be permanently archived. This archived data will consist of the bare minimum required in order for the Institution to verify and confirm a student's past study. This would include the Student Record System data, hard copy and electronic copies showing inclusion on pass lists, yearly transcripts and final award documents.

Archiving Procedures

In accordance with the above procedures, at the end of the of the first academic year in which individual student files are held as 'semi-current', they will be pruned and stored for a further five academic years. In order to ensure consistency, the following list describes what information must remain on the file following the first pruning process. All other data will be securely destroyed.

Where it exists, all files must contain information relating to the following:

- Application form
- Letter giving details of offer (a copy of each letter if more than one offer)
- Funding information eg SLC/ sponsor
- Academic progress data (including completion and further completion data)
- Data relating to de-enrolment
- UKVI related documents
- Passport and visa documents
- Appeals documentation
- Data relating to change of mode of study
- Disciplinary offences – outcomes only
- Academic offences – outcomes only
- Complaints – outcomes only
- Award letter / transcript of module(s)
- Letters / correspondence that would enable the Institution to formulate an accurate picture of the student's period of study

The following will not be retained in hard copy:

- References forming part of the admissions application process
- Transcripts for entry qualifications
- Statements of financial liability

- To Whom It May Concern letters
- Change of addresses (if appearing on Change of Personal Details Forms, with no other changes – otherwise retained)
- Refund letters
- Photos of student
- Enrolment forms and any documents allied to the enrolment process of each academic year

Data Protection

In accordance with the Data Protection Act 1998, all personal data held electronically or in hard copy is held fairly, securely and for specific purposes. It is managed in accordance with this policy and will be pruned in two stages. Disclosures of personal data are only made in accordance with the provisions of the Act and only to members of staff who need the information to carry out their duties. Data subject rights are maintained at all times.

Records Retention Schedule

The following retention schedule provides a structured framework for the retention and disposal of all records managed by Registry and covers student records.

The retention period refers to the life of the record as a "current" or "semi-current" record. When a record reaches the end of its retention period, it must be either destroyed or archived permanently.

Retention Schedule

Type of Record	Minimum Retention Period	Location	Reason for Length of Period
APPLICATIONS, ADMISSIONS & INDUCTION			
Records documenting the handling of enquiries from prospective students	Current Academic Year + 1 year	Network & hard copy storage area	Good practice
Records documenting the handling of applications for admission: unsuccessful applications	Current Academic Year + 1 year	Network & hard copy storage area	Good practice
Records documenting the handling of the clearing process	Current Academic Year + 1 year	Network & hard copy storage area	Good practice
Records documenting the administration of induction programme and events for new students	Current Academic Year + 1 year	Network & hard copy storage area	Good practice
GENERAL STUDENT FILES COLLATED DURING ACADEMIC CAREER			
Facts of enrolment and academic performance (dates of study, transcripts, progression, programme of study, marks, final award etc)	Perpetuity	SRS, network and hard copy storage area	Provision of references and confirmation of enrolment/final award etc.
Full student records, including documents relating to application/admission; academic achievements and conduct; transfer, withdrawal or termination of studies	Current Academic Year + 1	Network & hard copy storage area	Permits Institution to provide references for a reasonable length of time. Also, limitation period for negligence.

Type of Record	Minimum Retention Period	Location	Reason for Length of Period
Records documenting the handling of individual students' requests for statements of results/transcripts and third party requests for confirmation of student status etc.	Last action on request + 1 year	Network & hard copy storage area	Good practice.
PROGRAMME & EXAMINATION ADMINISTRATION			
Class lists & schedules for submitting/marking work.	Current Academic Year	Tutor, Registry	Good practice.
Records documenting individual students' attendance, and submission of coursework.	Certification + 3 years	Registry	Good practice.
Documents referring to coursework marks/grades and assessment.	Certification + 3 year	Tutor, Registry	Good practice.
Records documenting organisation of examination facilities (inc. special arrangements); attendance at examinations; handling of impaired performance claims; collation and notification of results.	Current Academic Year + 1 year	Registry	Good practice.
Pass Lists/Award Lists	Perpetuity	Network & hard copy storage area	Formal record, forms part of archive
STUDENTS' ACADEMIC WORK			
Undergraduate Coursework (including dissertations & essays, all years)	Certification + 3 years	Network & hard copy storage area	Retention duration taken from sector good practice
Postgraduate Taught Coursework (including dissertations, all years)	Current Academic Year + 3 years	Network & hard copy storage area	Retention duration taken from sector good practice
Examination scripts from Year One	Certification + 3 years	Network & hard copy storage area	Relevant time to let students exercise right of appeal or in case of any other dispute.
Examination scripts from Year Two onwards.	Certification + 3 years	Network & hard copy storage area	Relevant time to let students exercise right of appeal or in case of any other dispute.
Examination scripts for students who have withdrawn or had their studies terminated.	Current Academic Year + 3	Network & hard copy storage area	Relevant time to let students exercise right of appeal or in case of any other dispute.

Type of Record	Minimum Retention Period	Location	Reason for Length of Period
DISCIPLINE, APPEALS AND COMPLAINTS			
Records documenting the conduct and results of disciplinary proceedings against individual students.	Last action on case + 6 years.	Network & hard copy storage area	Limitation period for negligence.
Records documenting the handling and results of academic appeals by individual students.	Last action on case + 6 years.	Network & hard copy storage area	Limitation period for negligence.
Records documenting the handling of formal complaints made by individual students.	Last action on case + 6 years.	Network & hard copy storage area	Limitation period for negligence.
Records documenting the handling of complaints made by individual students where formal complaints procedure is not initiated.	Last action on case + 3 years.	Network & hard copy storage area	Good practice.
GRADUATION CEREMONIES			
Records documenting the organisation of award ceremonies	Completion of ceremony + 1 year	Network & hard copy storage area	Good practice.
Records documenting the production, collection and mailing of award certificates.	Completion of ceremony + 1 year	Network & hard copy storage area	Good practice.
EXTERNAL EXAMINERS			
Records documenting the selection and appointment of external examiners.	Termination of appt. + 1 year	Registry	Good practice
Records documenting liaison with external examiners on administrative matters.	Current academic year + 1 year	Registry	Good practice
Records documenting the selection and appointment of examination invigilators.	Current academic year + 1 year	Registry	Good practice
External Examiner reports and departmental responses.	5 years	Registry	Internal Programme Review and Accreditation purposes.