



# WHAT IS A STUDENT RECORD?

## A CASE STUDY BY KING'S COLLEGE LONDON

### APPENDICES

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**APPENDIX I: KING'S COLLEGE LONDON - ADMINISTRATIVE STRUCTURE:  
Responsibilities for student data entry and maintenance**

<b>Acting Principal <u>Professor Barry Ife</u></b>			
Reporting directly to the Principal: <b>The Reverend Dr Richard Burridge</b> , Dean (see <a href="#">Office of the Dean</a> ) <b>Dr Malcolm Sims</b> , Director of Research Support (see <a href="#">KCL Enterprises Ltd</a> )			
<b>Vice-Principal Professor Sir Graeme Catto</b>	<b>Professor Barry Ife</b>	<b>College Secretary &amp; Registrar Harry Musselwhite</b>	<b>Director of Resources Mike Hansen</b>
<a href="#">Dental Institute</a>	<a href="#">School of Social Science and Public Policy</a>	<a href="#">Academic Registry</a>	<a href="#">College Purchasing Office</a>
<a href="#">School of Nursing &amp; Midwifery</a>	<a href="#">School of Humanities</a>	<a href="#">Corporate Services Section</a>	<a href="#">Department of Management Information Systems</a>
<a href="#">Institute of Psychiatry</a>	<a href="#">School of Law</a>	<a href="#">Equality and Diversity Office</a>	<a href="#">Estates Department</a>
<a href="#">School of Biomedical Sciences</a>	<a href="#">School of Physical Sciences &amp; Engineering</a>	<a href="#">External Relations Department</a>	<a href="#">Facilities &amp; Services</a>
<a href="#">School of Health &amp; Life Sciences</a>		<a href="#">Information Services &amp; Systems</a>	<a href="#">Finance Department</a>
<a href="#">School of Medicine</a>		<a href="#">KILT (King's Institute of Learning &amp; Teaching)</a>	<a href="#">Internal Audit</a>
<a href="#">Graduate School for Health Sciences</a>		<a href="#">Personnel &amp; Training</a>	
		<a href="#">Health, Safety and Environmental Protection Office</a>	

**Student data: table of administrative responsibilities:**

<b>Office</b>	<b>Records created/maintained</b>
<a href="#">Office of the Dean</a>	Associates of King's College (AKC)
<ul style="list-style-type: none"> <li>Chaplaincy</li> </ul>	Applications to be married/christened/confirmed in King's Chapel
<a href="#">College Secretary and Registrar</a>	
<ul style="list-style-type: none"> <li>Corporate Services</li> </ul>	Waivers and suspensions
<a href="#">Academic Registry</a>	
<ul style="list-style-type: none"> <li>Student Admissions Office</li> </ul>	UCAS application forms distribution; admissions for undergraduates to the Schools of Biomedical Sciences, Dentistry and Medicine
<ul style="list-style-type: none"> <li>Academic Secretary</li> </ul>	Discipline/misconduct/mitigating circumstances cases and appeals
<ul style="list-style-type: none"> <li>Ceremonies and Events Office</li> </ul>	Travel awards and prizes, graduation lists;

	applications for awards; requests to attend awards ceremonies; requests for transcripts
<ul style="list-style-type: none"> <li>Examinations Office</li> </ul>	Final awards (transcripts) examination scripts/assignments/dissertations; pass lists, diplomas
<ul style="list-style-type: none"> <li>Quality Assurance and Academic Audit</li> </ul>	Quality assurance matters both in respect of College procedures and in liaison with external bodies such as HEFCE and QAA; maintains visiting examiners' reports, first destination returns; applications for overseas awards; development trusts
<ul style="list-style-type: none"> <li>Student Data Analysis</li> </ul>	Statistics on annual headcount, student profile information, applications data, summaries of final degree results, progression, wastage and submission rates, programme and course unit reference files, external returns and data for External Relations, and monitors enrolments and intake numbers for strategic and financial planning
<ul style="list-style-type: none"> <li>Student Loans and Awards Office</li> </ul>	Fees, funding applications and debts
<ul style="list-style-type: none"> <li>Student Counselling and Welfare Service</li> </ul>	Welfare and counselling records
<u>Equality and Diversity Department</u>	Records relating to disability; case files and advisers' files
<u>External Relations Department</u>	
<ul style="list-style-type: none"> <li>Alumni Office</li> </ul>	Alumni database, reunions files, bookings forms, photographs, fundraising call sheets, <i>In Touch</i> magazine
<ul style="list-style-type: none"> <li>Student Recruitment and Exchanges Department</li> </ul>	Records relating to exchange students and Junior Year Abroad.
<u>Facilities and Services Department</u>	
<ul style="list-style-type: none"> <li>Residential Services: Student Accommodation Office</li> </ul>	Records of accommodation applications, residence agreement, photographs, disciplinary/appeals, terminations and withdrawals, special circumstance information, deposit documentation and other financial details; separate files on major disciplinary/appeals cases, medical information and lists of student residents in the various halls of residence
<ul style="list-style-type: none"> <li>Residential Services: Halls of residence</li> </ul>	Records of applications, residence agreement, disciplinary/appeals, financial details, terminations, unsuccessful applications, offers and withdrawals, arrivals and departure lists, waiting lists, CCTV film and photographs and some disciplinary/appeals cases
<u>Finance Department</u>	
<ul style="list-style-type: none"> <li>Credit Control Office</li> </ul>	Documentation on student fees
<ul style="list-style-type: none"> <li>Bought Ledger</li> </ul>	Documentation, received from the schools, of student maintenance grant/bursary payment requests
<u>Information Services and Systems</u>	

<ul style="list-style-type: none"> <li>• Site Services</li> </ul>	Student registration, e-mail and password registration, enquiries, book reservations, invoices, suspensions and defaulters
<ul style="list-style-type: none"> <li>• Archives and Corporate Records Services</li> </ul>	Repository for King's hard copy and microform student files
<u>King's Institute of Learning and Teaching</u>	Records of Masters in Academic Practice (Academic staff); Graduate Certificate in Academic Practice (postgraduate students, post-doctoral staff who have teaching assistant duties at the College); Statement of Teaching Proficiency (postgraduate students and staff)
<u>The Schools</u>	
<ul style="list-style-type: none"> <li>• Dental Institute: Dental Registry</li> <li>• Florence Nightingale School of Nursing and Midwifery: School Office</li> <li>• Institute of Psychiatry: IOP Registry</li> <li>• School of Biomedical Sciences: Academic Centre</li> <li>• School of Medicine: Medical Registry</li> <li>• School of Health and Life Sciences: School Office</li> <li>• School of Humanities: School Office</li> <li>• School of Law: School Office</li> <li>• School of Physical Sciences &amp; Engineering: School Office</li> <li>• School of Social Science &amp; Public Policy: School Office</li> </ul>	Records of student admissions, enrolment, course units, change of course, withdrawals, change of address, examinations registration, marks. The Schools make the relevant entries onto the student database and create paper "student files"
<u>The University of London</u>	
<ul style="list-style-type: none"> <li>• Diploma Production Office</li> </ul>	Degree certificates
<ul style="list-style-type: none"> <li>• University of London Careers Service (ULCS)</li> </ul>	Student attendance at fairs and courses; first destination returns and statistics
<ul style="list-style-type: none"> <li>• KCL Careers Service</li> </ul>	Careers discussions, aptitude tests, advisers

**APPENDIX II: PROJECT TIMETABLE  
DEPARTMENTS VISITED, CONTACTS AND DATES**

<b>Meetings</b>	<b>Contact persons</b>	<b>Date</b>
<b>CENTRAL ADMINISTRATION:</b>		
<b>Dean's Office</b>	Dean's Secretary	19/9/03
<b>KCL Enterprises Ltd</b>	Work experience co-ordinator	8/10/03
<b>College Secretary and Registrar</b>		
<u>Corporate Services:</u>	Assistant College Secretary	2/10/03
<u>Academic Registry:</u>		
Academic Secretary	Assistant College Secretary and Data Protection Officer	21/7/03
Academic Registrar's Directorate	Academic Registrar	23/9/03
Ceremonies & Events	Assistant Registrar; Senior Registry Officer	31/7/03
Examinations Office	Senior Assistant Registrar	29/9/03
Medical and Dental Registry	Senior Assistant Registrar; Programme Director (Dentistry); Assistant Registrar (MBBS); Examinations & Assessments Administrator	2/9/03; 2/9/03; 2/9/03; 17/9/03
Quality Assurance & Academic Audit	Senior Assistant Registrar	21/7/03
Student Admissions Office	Assistant Registrar	16/7/03
Student Data Analysis	Assistant Registrar	15/7/03
Student Loans and Awards Office	Assistant Registrar	24/9/03
Student Counselling and Welfare Services	Director of Student Services	10/9/03
<u>Equality &amp; Diversity Department</u>	Director; Disability Assessment & Support Officer	21/7/03
<u>External Relations Department:</u>		
Alumni Relations	Development Officer	11/7/03
Student Recruitment and Exchanges Department	Junior Year Abroad Co-ordinator	24/9/03
<u>Information Services &amp; Systems:</u>		
Archives and Corporate Records Services	Director	25/9/03
Maughan Library & Information Services Centre	Site Services Manager; Counter Services Co-ordinator	24/7/03
<u>King's Institute of Learning &amp; Teaching</u>	Assistant Director (Programmes); Administrator	8/10/03
<b>Resources</b>		
<u>Facilities and Services:</u>		
Residential Services	Residential Services Manager; Accommodation Officer	21/7/03
<u>Finance Department:</u>		
Financial Accounting & Services	Financial Services Manager	16/9/03
Internal Audit	Deputy Head	16/9/03

<u>Management Information Systems Department</u>	Assistant Director	20/8/03
<b>Careers Service</b>		
Information Office	Information Manager; Careers Adviser	13/8/03
<b>KING'S SCHOOLS</b>		
<b>Florence Nightingale School of Nursing &amp; Midwifery:</b>		
School Support Services/Administration	Office and Systems Manager	29/9/03
<b>GKT Dental Institute:</b>		
School Administration	Director of Student Admissions & Disability Advisor	8/10/03
<b>GKT School of Biomedical Sciences:</b>		
Academic Centre	Academic Services Officer	6/10/03
Anatomy Cell & Human Biology	Degree course organiser	6/10/03
<b>GKT School of Medicine:</b>		
School Administration	School Executive Officer	9/10/03
MBBS Executive of the Medical Education Committee	Committee Chairman & members	9/10/03
<b>Institute of Psychiatry:</b>		
Registry	Registrar	29/8/03
Social, Genetic & Developmental Psychiatry Centre	Centre Manager; Executive Assistant, Dean's Office	23/9/03
<b>School of Health &amp; Life Sciences:</b>		
School Administration	Academic & Student Services Manager	26/8/03
<b>School of Humanities:</b>		
School Administration	Assistant College Secretary; School Administrator	9/9/03
English Department	Department Administrator	24/10/03
<b>School of Law:</b>		
School Administration	Assistant College Secretary	12/9/03
<b>School of Physical Sciences &amp; Engineering:</b>		
School Administration	School Administrator	22/8/03
Department of Computer Science	Undergraduate Secretary	22/8/03
<b>School of Social Science &amp; Public Policy:</b>		
School Administration	Academic & Student Services Manager	22/9/03
War Studies Department	Departmental Administrator; Departmental Secretary; Director, e-Learning Programme	30/9/03

### APPENDIX III: THE LIFECYCLE OF THE STUDENT RECORD

The following table maps the lifecycle of the student record to core data and recommends appropriate disposal.

<b><u>Purpose</u></b>	<b><u>Records which include names of students created</u></b>	<b><u>Record on individual student created</u></b>	<b><u>Disposal recommended</u></b> [RDS = Records Disposition Schedule]
<b>First contact</b>			
School links	No	No	N/a
Visits by school groups	No	No	N/a
Open days	No	No	N/a
Recruitment fairs including abroad	No	No	N/a
Access courses for “A” level students	Yes	Not known	N/a
Requests for admissions information	Yes	No	Information should be destroyed regularly
<b><u>Applications</u></b>			
Unsuccessful applications	Yes	No	Destroy after 2 years
<b><u>Undergraduate: successful</u></b>			
UCAS application forms	Yes (student database)	Yes (student file)	Retain one copy of document permanently on one paper file; Retain admissions details permanently on student database
Interviews	No	Yes (student file)	Destroy for unsuccessful applicants
Offers	No	Yes (student file)	Retain one copy permanently on one paper file
Acceptance	No	Yes (student file)	Retain one copy permanently on one paper file
<b><u>Applications: postgraduate</u></b>			
Application form	Yes (student database)	Yes (student file)	Retain one copy permanently on one paper file
Statement of qualifications	Yes (student database)	Yes (student file)	Retain one copy permanently on one paper file
Supporting references	No	Yes (student file)	Retain one copy permanently on one paper file
Offer and related correspondence	No	Yes (student file)	Retain official offer; destroy related correspondence
Confirmation to Department of offer	No	Yes (student file)	Retain one copy permanently on one paper file
Correspondence	No	Yes (student file)	Destroy 7 <sup>th</sup> year after file closed
Interview notes	No	Yes (student file)	Retain one copy permanently on one paper file

<b><u>Purpose</u></b>	<b><u>Records which include names of students created</u></b>	<b><u>Record on individual student created</u></b>	<b><u>Disposal recommended</u></b> [RDS = Records Disposition Schedule]
<b>Registration</b>			
Enrolment	Yes (student database)	Yes (student file)	Retain one copy permanently on one paper file
Photograph	Yes (student database)	Yes (student file)	Retain one copy permanently on one paper file
Subject registration form	Yes (student database)	Yes (student file)	Retain one copy permanently on one paper file
Safety declaration (Engineering)	Yes (student database)	Yes (student file)	Retain one copy permanently on one paper file
C.v.	No	Yes (student file)	Retain one copy permanently on one paper file
ID card	Yes (student database)	No	
Library membership registration	Yes (user services database)/ site library local database	No	Destroy/delete when no longer current as per RDS 14.3
Late registration	Yes (user services database)/ site library local database	No	Destroy when no longer current as per RDS 14.3
E-mail registration/ passwords	Yes (student database)	No	Destroy when no longer current as per RDS 14.3
<b>Academic progress</b>			
Course units	Yes (student database)	Yes (student file)	Retain one copy permanently on one paper file
Change of course	Yes (student database)	Yes (student file)	Retain one copy permanently on one paper file
Course feedback form	No	Yes (student file)	Destroy after collation as per RDS 1.13

<b><u>Purpose</u></b>	<b><u>Records which include names of students created</u></b>	<b><u>Record on individual student created</u></b>	<b><u>Disposal recommended</u></b> [RDS = Records Disposition Schedule]
Withdrawal/interruption of studies	Yes (student database)	Yes (student file)	Retain one copy permanently on one paper file
Student report form	Yes (student database)	Yes (student file)	Retain one copy permanently on one paper file
Correspondence with tutor	No	Yes (tutor's file)	Destroy 7 <sup>th</sup> year after completion
Attendance	Yes (student database)	Yes (student file)	May need to retain permanently to satisfy accrediting bodies/employers
Clinical assessments	Yes (local database)	Yes (student file)	Retain permanently for CPD
Fitness to practice documentation	Yes (local database)	Yes (student file)	Retain permanently for CPD
Skills logbook	No	Yes	Return to student
Exchanges/junior year abroad	Yes (student database)	Yes (student file)	Retain one set of paper documentation only
Travel awards (including application and references)	Yes (local database)	Yes (files)	Retain lists of awards permanently
Travel awards: unsuccessful	Yes (local database)	No	Destroy once awards granted
Prizes	Yes (local database)	Yes (student file)	Annual snapshot to Archives as per RDS 1.26; retain permanently on student file
Fellowships	Yes (local database)	Yes (student file)	Retain permanently as per RDS 1.27; retain permanently on student file
Course work	Yes (local database)	Yes	Destroy once appeal period has passed
Work placements/electives	Yes (local database)	Yes (student file)	Where work placement is a course requirement details should be entered on student database
Annual transcript of marks	Yes (student database)	Yes (student file)	Destroy provided all information is included on final transcript
<b>Financial matters</b>			
Student loans: fee breakdown	Yes (student database)	Yes (student file)	Remove from student file and destroy on archiving
Fee payment if late LEA assessment	Yes (student database)	Yes (student file)	Delete from system 7 <sup>th</sup> year after completion
Bursaries, scholarships	Yes (student database)	Yes (student file)	Destroy financial record 7 <sup>th</sup> year after completion; Retain permanently on school file
Funding applications	Yes (local database)	Yes (student file)	Destroy financial record 7 <sup>th</sup> year after completion;

<b><u>Purpose</u></b>	<b><u>Records which include names of students created</u></b>	<b><u>Record on individual student created</u></b>	<b><u>Disposal recommended</u></b> [RDS = Records Disposition Schedule]
			Retain permanently on school file
Hardship Fund applications	Yes (local database)	No	Destroy once student has completed
Monthly/ quarterly maintenance grant request	Yes (finance database)	No	Delete from system 7 <sup>th</sup> year after completion; Remove from student file and destroy on archiving
Grant cheques	Yes	No	Delete from system 7 <sup>th</sup> year after
Council Tax Exemption certificate	Yes	Yes (student file)	Remove from student file and destroy on completion
Financial problems	No	Yes	Remove from student file and destroy on completion
Fees debtor lists and related correspondence	Yes	No	Destroy 7 <sup>th</sup> year after completion
Suspension for non-payment of fees	Yes (finance database)	Yes (student file)	Destroy 7 <sup>th</sup> year after completion
Appeals	Yes	Yes (individual files)	Destroy 7 <sup>th</sup> year after completion
Library fines/invoices	Yes (user services database)/ site library local database	No	Destroy 7 <sup>th</sup> year after clearance of debt
Medical certificate pertaining to fines	Yes	No	Destroy after crediting as per RDS 14.3
Library debtor lists	Yes	No	Destroy 7 <sup>th</sup> year after clearance of debt
Defaulters	Yes	No	Destroy 7 <sup>th</sup> year after clearance of debt
<b><u>Accommodation</u></b>			
Application form	Yes (student database)	Yes (local file)	Destroy 2nd year after termination of agreement as per RDS 10.6
Photograph	Yes (local database)	Yes (local file)	Destroy 2nd year after termination of agreement
Residence agreement	Yes (local database)	Yes (local file)	Destroy 7 <sup>th</sup> year after termination of agreement
Accommodation problems	Yes (local database)	Yes (local file)	Destroy once student has left
Medical/personal information	No	yes (local file)	Destroy once student has left
Termination of agreement/withdrawal form	Yes (local database)	Yes (local file)	Destroy 7 <sup>th</sup> year after termination of agreement

<b><u>Purpose</u></b>	<b><u>Records which include names of students created</u></b>	<b><u>Record on individual student created</u></b>	<b><u>Disposal recommended</u></b> [RDS = Records Disposition Schedule]
Invoices	Yes	no	Destroy once student has left (Finance holds accounting record)
Refund of deposit cheque	Yes	no	Destroy once student has left (Finance holds accounting record)
Discipline/appeals (minor)	Yes	Yes (local file)	Destroy once student has left
Discipline/appeals (serious)	No	Yes (local file)	Retain permanently by Academic Registry as per RDS 2.11; local copies may be destroyed as convenient
Security reports	Yes	No	Destroy 1 year after academic year
CCTV	Yes	No	Tape over every 31 days; replace every 1-2 years
<b>Examinations</b>			
Registration form	Yes (student database)	Yes (student file)	Retain permanently on school file
Candidate number	Yes (student database)	Yes (student file)	Retain permanently on database
Examination attendance sheet	Yes	No	Destroy 3 years after completion
Mark sheet	Yes	Yes (student file)	Destroy 3 years after completion
Application for special arrangements	Yes	Yes (student file)	Destroy 3 years after completion
Medical assessment for special arrangements	No	Yes (separate file)	Destroy 3 years after completion
Application to sit written examinations overseas (distance learning students)	Yes (student database)	Yes (student file)	Destroy 3 years after completion
Medical certificate for non-attendance	No	Yes (separate file)	Destroy 3 years after completion
Results slip	Yes	Yes (student file)	Retain permanently on school file
Official Finalist Pass list	Yes	Yes (student file)	Destroy copies on student file; official lists are retained permanently as per RDS 1.25
Request for resit/replacement exam	Yes	Yes (student file)	Retain permanently on school file
Appeals/complaints	Yes	Yes (separate file)	Destroy in 7th year after settlement of case as per RDS 1.19; retain summary permanently on school file as

<b><u>Purpose</u></b>	<b><u>Records which include names of students created</u></b>	<b><u>Record on individual student created</u></b>	<b><u>Disposal recommended</u></b> [RDS = Records Disposition Schedule]
			per College Regulations
Mitigating circumstances	Yes	Yes (separate file)	Destroy after 7 years as per RDS 1.19
Scripts, assignments, dissertations	Yes	Yes (separate file)	Destroy 3 years after completion of course as per RDS 1.18
Examiners' notes	Yes	Yes (separate file)	Destroy 3 years after current year as per RDS 1.18; MBBS & MSci notes after 5 years
Degree certificates	Yes	Yes	N/a
<b>Personal issues/student life</b>			
Change of address	Yes (student database)	Yes (student file)	Destroy all except one copy of first and last known address
Disability/special needs/health	Yes (student database with student's permission)	Yes (student file)	Destroy tutor's file on completion
Disability Disclosure Form	Yes	Yes (student file)	Destroy when student has completed
Disabled students allowance	Yes	Yes (student file)	Destroy when student has completed
Disability support	Yes (local database with student's permission)	Yes (student file)	Destroy when student has completed
Pastoral needs	Yes	Yes	Destroy tutor's file on completion
Specific action for failing student	Yes	Yes	Destroy tutor's file on completion
Complaints e.g. over unfair treatment	Yes	Yes	Destroy in 7 <sup>th</sup> year after student completes
Welfare	Yes	Yes	Destroy when student completes
Counselling services: advisers' notes	Yes	Yes	Destroy after 7 years
Counselling services: counsellors' notes	Yes	Yes	Destroy after 7 years
Medical record	Yes (own database)	Yes (NHS patient record)	N/a
Accident reports	Yes	Yes	Destroy 3 years after date of last entry as per RDS 8.11
Mentoring	Yes	Yes	Retain permanently on school file
Disciplinary matters	Yes	Yes	Retain permanently as per

<b><u>Purpose</u></b>	<b><u>Records which include names of students created</u></b>	<b><u>Record on individual student created</u></b>	<b><u>Disposal recommended</u></b> [RDS = Records Disposition Schedule]
(major cases)			RDS 2.11 (possible sampling of major case files?)
Careers advice	Yes (local database)	Sometimes	Destroy after 2 years
Suspensions	Yes	Yes	Destroy paper record
Marriage, christening, confirmation	Yes	No	Destroy when student completes
Vocational conversations	Yes	No	Destroy once student has left King's
Associate of King's College: Diploma/certificate	Yes (student database)	Yes (student file)	Retain permanently
Equality and diversity monitoring	Yes (taken from student database)	No	Retain permanently
<b>Graduation</b>			
Application to attend ceremony	Yes	No	Destroy 1 year after ceremony
Graduation list (list of students attending and award)	Yes	No	Copy to Archives on creation and destroy in Office when no longer current as per RDS 1.25
<b>Afterwards</b>			
Final transcript	Yes (student database)	Yes (sometimes on student file)	Full transcript should be retained permanently
Federal	Yes	Yes (sometimes on student file)	N/a
Requests for transcripts	Yes	Yes	Destroy after 10 years
References	No	Yes (student file)	Retain permanently on school file
Alumni mentoring of current students	Yes (local database)	No	Delete once connection severed
Alumni membership	Yes (alumni database)	No	Snapshot of database to be made by Archives as per RDS 13.13
Alumni donations forms	Yes (alumni database)	No	Destroy 7th year
Fund raising call sheets	Yes (alumni database)	No	Destroy 5 weeks after campaign finished
Reunions/events	Yes	No	Transfer significant ephemera to Archives as per RDS 13.16
Reunions booking forms	Yes	No	Destroy 2 weeks after event
Reunions: photographs	Yes	No	Return to attendees

**APPENDIX IV: KING'S RECORDS DISPOSITION SCHEDULE:  
RELEVANT SECTIONS AND RECOMMENDATIONS FOR AMENDMENT**

<u>RECORDS RETENTION SCHEDULE</u>		<u>DISPOSAL</u>	<u>STATUTORY/ LEGAL CONFORMITY</u>	<u>RECOMMENDATION</u>
<i>Record Type/Sub Type</i>	<i>Where records are created and/or retained e.g. School, Dept, Section etc</i>	<i>How long records are kept for and when it is appropriate to transfer or copy them to Archives</i>	<i>COVERED BY (Act)</i>	
<b>1. Teaching and learning</b>				
<b>Course Review</b> 1.13 Collection, analysis and review of feedback on courses - Individual student course feedback forms	Department	Destroy after collation	Data Protection Act 1998	Stet: collated statistics are retained permanently in the Archives
<b>Examination Setting and Marking</b> 1.15 Special Examinations Arrangements Committee	Examinations Office	Copy agenda, papers and minutes to Archives on creation		Stet

<p>1.18 Marking of examinations</p> <ul style="list-style-type: none"> <li>- Examination scripts/ assignments/dissertations</li> <li>- Examiners' notes</li> <li>- Examiners' reports and responses</li> </ul>	<p>Department/ Examinations Office</p> <p>Department</p> <p>QAAA</p>	<p>Retain in Department/ Examinations for 3 years following completion of programme then can destroy</p> <p>Keep for current year +3 then can destroy</p> <p>Department to retain copy for 7 years. QAAA to transfer to Archives on receipt</p>		<p>Retain MBBS and MSci notes for 5 years to cover additional years of study</p>
<p>1.19 Processing of complaints and appeals about examination procedures and results</p> <ul style="list-style-type: none"> <li>- Complaints files/ appeals files</li> <li>- Mitigating Circumstances forms</li> </ul>	<p>Academic Registrar's Office</p> <p>Department</p>	<p>Keep for settlement of case + 6 then destroy</p> <p>Retain in Department for 7 years then can destroy</p>	<p>Limitation Act 1980 Data Protection Act 1998</p> <p>Data Protection Act 1998</p>	<p>Stet. Note that College Regulations require that summary and outcomes are placed on the student file</p> <p>Note that forms should be held separately, not on the student file</p>
<p><b>Course Administration</b></p> <p>1.21 Assignment of students to classes/groups</p> <ul style="list-style-type: none"> <li>- Class lists</li> <li>- Tutorial lists</li> </ul>	<p>Department</p>	<p>Retain in Department for current year + 3 then can destroy</p> <p>Retain for 5 years in the Dental Institute to cover additional years of study</p>	<p>Data Protection Act 1998</p>	<p>Stet</p>

1.22 Monitoring of student attendance - Student attendance registers	Department	Retain in Department for current year + 3 then can destroy Retain for 5 years in the Dental Institute to cover additional years of study	Data Protection Act 1998	Dependent on whether sufficient data on attendance is recorded on student database to cover requirements of accrediting/professional bodies/future employers
<b>Conferment of awards</b> 1.25 Confirmation of student awards - Pass lists  - Graduation lists  - Lists of unclassified students (debtors)	Examinations Office  Ceremonies and Events Office  Student Loans and Awards	Copy to Archives on creation. Retain lists in Examinations Office permanently  Copy to Archives on creation. Retain lists in Ceremonies Office while current then can destroy  Copy annual snapshot to Archives		Stet  Stet. Only contains details of students attending the graduation ceremonies  All debtors' information now entered on student database
1.26 Prizes	Ceremonies and Events Office/School/ Department	Annual snapshot to be collected from Web by Archives To include lists of prizes and conditions of prizes	Data Protection Act 1998	Details of how and when to collect snapshot not yet agreed
1.27 Fellowships	Office of the College Secretary and Registrar/Principal's Office	Transfer to Archives after 7 years	Data Protection Act 1998	Stet
<b>2. STUDENT ADMINISTRATION AND SUPPORT</b>				

<b>Student Liaison</b> 2.2 Staff/Student bodies – meeting papers	Department	Retain in Department for 3 years then can destroy		Stet
<b>Student Admission and Registration</b> 2.9 Creation of student records - Student database (including fee status)  - Admissions Committee	Admissions Offices  Office of the College Secretary and Registrar	Retain on database and copy to Archives after HESA returns  Copy agenda, papers and minutes to Archives on creation	Data Protection Act 1998	Student database: agreement has yet to be reached as to how, how often and what data to archive. See recommendations in <b>Appendix II Student records lifecycle</b>  Stet
<b>Maintenance of individual student records</b> 2.10 Student files	Department	Transfer to Archives upon completion of programme + 3 Records can be transferred after completion of programme + 1 year if there is no available storage space. Disciplinary records should not be kept on student files.	Data Protection Act 1998	See recommendations in <b>Appendix II: student records lifecycle</b>

<b>Conduct of disciplinary proceedings against students</b> 2.11 Student Disciplinary Case files	Senior Assistant Registrar	Transfer to Archives upon completion of course	Data Protection Act 1998	Sampling of major cases for historical value and destruction of remainder on completion + 6 is recommended. Note that College Regulations require that summary and outcomes are placed on the student file
<b>3. RESEARCH</b>				
<b>Research Strategy Development</b> 3.1 Definition of Strategic goals and objectives for research and formulation - Postgraduate Research Students' Committee	QAAA	Copy agenda, papers and minutes to Archives on creation		Stet
<b>Research performance management</b> 3.3 Reviewing and assessing the outcome of research proposals - Research grant application summaries	KCL Enterprises (or appropriate committee)	Copy to Archives on creation	Data Protection Act 1998	Stet
<b>8. HEALTH &amp; SAFETY AND RISK ASSESSMENT</b>				

8.11 Accident records/reports	Departments/Local Personnel Teams / Safety Office	Keep for 3 years after date of last entry	Regulation 7 of the Reporting of Injuries, Diseases and Dangerous Occurrences at Work Regulations 1985 (RIDDOR) (SI 1985/2023)	Stet
<b>10. Central services</b>				
<b>Lettings administration</b>				
10.6 Accommodation booking forms	Accommodation Office	Keep for termination of agreement + 1 then can destroy	Data Protection Act 1998	Stet
10.7 Accommodation lists	Accommodation Office	Keep for termination of agreement + 1 then can destroy	Data Protection Act 1998	Stet

<p><b>Security management</b> 10.13 Control of access to institutional premises, facilities and IT systems:</p> <ul style="list-style-type: none"> <li>- Key issue/return logs</li> <li>- Visitors logs</li> <li>- Access logs</li> <li>- Incident logs</li> </ul>	<p>Facilities and Services</p> <p>Facilities and Services</p> <p>Facilities and Services</p> <p>Facilities and Services</p>	<p>Keep for current year +1 then can destroy</p> <p>Keep for current year +1 then can destroy</p> <p>Keep for current year +1 then can destroy</p> <p>Keep for current year +1 then can destroy</p>	<p>Data Protection Act 1998</p> <p>Data Protection Act 1998</p> <p>Data Protection Act 1998</p> <p>Data Protection Act 1998</p>	<p>Stet</p> <p>Stet</p> <p>Stet</p> <p>Stet</p>
<p><b>13. External relations</b></p>				
<p><b>Maintenance of alumni records</b> 13.13 Snapshot of database</p>	<p>Alumni Office</p>	<p>Transfer to Archives on creation</p>		<p>Dept has yet to discuss with Archives details of snapshot</p>
<p><b>13.17 Management of relationships with individuals and institutions which provide funds</b></p> <ul style="list-style-type: none"> <li>- Donor/Sponsor Summary records/Database</li> </ul>	<p>Development Office</p>	<p>Keep for current year + 2 then transfer major gift donor records and annual fund donor records to Archives</p>		<p>Stet</p>
<p><b>14. Information services and systems</b></p>				

<b>Information Service Centre Service Delivery (library)</b>			Data Protection Act 1998	
14.3				
- Enquiry Forms/database	ISS	Keep for current year + 3 then destroy		Stet
- Loans records/database	ISS	Keep for current year + 3 then destroy		Stet
- Medical certificates pertaining to credit fines	ISS	Destroy after crediting		Stet
- Library membership application form	ISS	Keep while current then destroy		Stet

## APPENDIX V: KING'S COLLEGE LONDON POLICIES AND CODES OF PRACTICE

The following policies or codes of practice which have relevance to student records were identified:

*College Regulations* Academic Session 2002/2003 require that:

- Outcomes of Examinations Misconduct Committee hearings must be reported to the student and Chairs of the relevant Programme and School Boards of Examiners and that copies of findings and orders of the Examinations Misconduct Committee must be placed on the student's file (regulation 3.9.2.2 p.b24).
- Outcomes of the Disciplinary Committee be reported to the student and the relevant Head of School and other interested parties and that copies of findings and orders of the Disciplinary Committee must be placed on the student's file (regulation 3.9.3.3 p. b25).

(<http://www.kcl.ac.uk/kis/college/registry/2003/guide03.pdf>)

The *Confidentiality policy* produced by the Equal Opportunities Office, Equality and Diversity Department, advises on the nature and extent of information students may impart concerning disabilities, agreement to maintenance of information in paper and/or electronic format and a guarantee that access to such information will be restricted to authorised persons.

([http://www.kcl.ac.uk/equal\\_opps/confidentiality.rtf](http://www.kcl.ac.uk/equal_opps/confidentiality.rtf))

The *Code of practice on confidentiality and data protection* produced by Student Counselling and Welfare Services advises that no confidential personal data, other than for specified reasons, will be passed to anyone outside the Service.

(<http://www.kcl.ac.uk/depsta/admsup/stuser/dataprotection.html>)

The *Guide to being a personal tutor 2003-2004* (paper only) produced by the Staff Development and Training Unit/Quality Assurance and Academic Audit Section advises that, in accordance with the Data Protection Act 1998, e-mail should not be used to transmit confidential, personal or other sensitive information to/about students, that informal records kept by tutors should be adequate, relevant and not excessive to their purpose, kept accurate and up to date and not retained any longer than is necessary, and that any recorded information given in confidence should be maintained securely.

The *Student references policy* produced by the Academic Secretariat advises that referees have a duty of care to provide references that are as accurate and complete as possible, including the provision of information on disciplinary matters if relevant.

(<http://www.kcl.ac.uk/kis/college/registry/references.pdf>)

The *Financial Procedures* produced by the Finance Department give instructions on how data relating to tuition and accommodation fees is to be created and processed.

([http://www.kcl.ac.uk/finance/fin\\_procs/fin\\_procs\\_a-i.html](http://www.kcl.ac.uk/finance/fin_procs/fin_procs_a-i.html))

## APPENDIX VI: EXTERNAL REQUIREMENTS FOR DATA COLLECTION ON STUDENTS

The websites of a representative sample of external agencies and professional or validating bodies (a full list is at **Appendix IX: Bibliography**) were examined as follows to establish minimum record keeping requirements for both degree students and for continuing professional development as follows:

- **HEFCE**: distributes public money for teaching and research to universities and colleges, and monitors teaching and research standards performance accordingly. It's 2001 document *The management of student administration: a guide to good practice* stressed that data should be properly disseminated to those who need it without duplication of effort, should be captured only once and made available quickly (see website at <http://www.hefce.ac.uk/>).
- **HESA**: collects statistical data on students to us in forward planning. See <http://www.hesa.ac.uk/>
- **QAA**: responsible for assessing the quality of higher education in England and Northern Ireland. The QAA covers the full breadth of teaching and learning activities, including: direct observation of classroom/ seminar/workshop/laboratory situations, the methods of assessing students' work, students' work and achievements, the curriculum, staff and staff development, the application of resources (library, information technology, equipment), and student support and guidance. See <http://www.qaa.ac.uk/>.
- **Chartered Institute of Personnel and Development**: states that successful continuing personal development requires that written records are kept in 2 areas: a record of achievement and a personal plan. See <http://www.cipd.co.uk/>.
- **General Dental Council**: requires that each dental authority keep records of the academic and clinical performance of each dental student and has effective systems of monitoring student progress in all years. See paras 124-125 of GDC's *The first five years*: <http://www.gdc-uk.org/index.html>
- **General Medical Council**: has similar guidelines on monitoring student progress. See <http://www.gmc-uk.org/>
- **Commission for Racial Equality**: recommends that records on ethnic origin are created and maintained as part of good record-keeping practice. See <http://www.cre.gov.uk/>.

### The Student Progress file and lifelong learning

- The 1997 National Enquiry into Higher Education (Dearing enquiry) recommended that HE and FE institutions in the UK develop a Progress File encompassing a formal institutional transcript and a student-owned record of achievement arising from a structured process of Personal Development Planning. The original function of the transcript was as a formal, summative record of achievement. Within the Progress File the transcript acquires a second, lifelong function as a record which students use to reflect upon their achievement in order to develop as lifelong learners. The core record will need to be available for up to 20 years.
- In May 2002 the QAA (together with other bodies such as the Committee of Vice Chancellors and Principals, now Universities UK), produced guidelines (*Guidelines for HE Progress Files*, 2001) recommending that every HEI should develop and produce a Progress File comprising:
  - A transcript which is a comprehensive verifiable record of the leaning and achievement of an individual learner and also provides learners with a record of their learning while they are studying in the form of a formative statement (to be implemented by 2002/03);
  - A personal development plan (PDP; to be implemented by 2005/06). The PDP should be “a structured and supported process undertaken by an

individual to reflect upon their own learning, performance and/or achievement and plan for their personal, educational and careers development” (*Guidelines*, para 28). The recommendation (para 47) was that the PDP be owned by the learner.

- Universities UK undertook a study of the progress file in 2003 which examined current work within HE and FE institutions towards production of the transcript and the PDP. Its findings are at (<http://www.universitiesuk.ac.uk/progressfiles/downloads/ProgressFiles.pdf>)
- According to JISC, the above means that every student should have a student file and a transcript (for documentation on the above studies see JISC, UK Learner Profile Version 1.1 <http://assessment.cetis.ac.uk/groups/20010801124300/FR20021209103337> )

## APPENDIX VII: BIBLIOGRAPHY, INCLUDING WEBSITES OF HIGHER EDUCATION, PROFESSIONAL AND VALIDATING BODIES

Archives in London and the M25 area (AIM25): website at <http://www.aim25.ac.uk/>

Centre for Educational Technology Interoperability Standards and the Shared managed Learning Environments for Lifelong learning Programme (CETIS): website <http://assessment.cetis.ac.uk/groups>, including:

- JISC and others, *UK Learner Profile Version 1.1*, 2003  
<http://assessment.cetis.ac.uk/groups/20010801124300/FR2002120910333>

Centre for Higher Education and Research (CHERI): website <http://www.open.ac.uk/cheri/index.htm>, including:

- John Brennan & Tarla Shah, *Report on the implementation of progress files*, CHERI, 2003

Chartered Institute of Personnel and Development: website <http://www.cipd.co.uk/>

Commission for Racial Equality: website <http://www.cre.gov.uk/>

Council of Heads of Medical Schools: website <http://www.chms.ac.uk/default.html>

General Dental Council: website <http://www.gdc-uk.org/index.html>, including:

- *The first five years: a framework for undergraduate dental education*, <http://www.gdc-uk.org/publications.html#ffv>

General Medical Council: website <http://www.gmc-uk.org/>, including

- *Tomorrow's doctors: recommendations on undergraduate medical education – assessing student performance*, Feb 2003, [http://www.gmc-uk.org/med\\_ed/default.htm](http://www.gmc-uk.org/med_ed/default.htm)

Higher Education/Further Education Records Management Group listserv archives (closed list for members only): <http://www.jiscmail.ac.uk/cgi-bin/wa.exe?S1=university-rms&X=->

Higher Education Funding Council for England: website <http://www.hefce.ac.uk/>, including:

- *The management of student administration: a guide to good practice*, 2001 (hard copy only)

Higher Education Statistics Agency: website <http://www.hesa.ac.uk/>

Joint Information Systems Committee: website <http://www.jisc.ac.uk/>, including:

- Elizabeth Parker and Christine Smith: *Study of the archival records of British universities*, 1997 (hard copy only)
- Elizabeth Parker, Emmerson Consulting Ltd, *Study of the records lifecycle*, 2001 [http://www.jisc.ac.uk/index.cfm?name=recordsman\\_papers\\_cycle2](http://www.jisc.ac.uk/index.cfm?name=recordsman_papers_cycle2)
- *Supporting Institutional Records Management*, JISC circular 9/02, 2002 (hard copy only)
- *HEI Records Retention Schedule*, 2003 [http://www.jisc.ac.uk/index.cfm?name=recordsman\\_papers\\_cycle4](http://www.jisc.ac.uk/index.cfm?name=recordsman_papers_cycle4)

King's College London: website <http://www.kcl.ac.uk/>, including:

- *College Regulations: a guide for students*, Academic session 2003/04

- <http://www.kcl.ac.uk/kis/college/registry/2003/guide03.pdf>
- Equal Opportunities Office, Equality and Diversity Department, *Confidentiality policy*, [http://www.kcl.ac.uk/equal\\_opps/confidentiality.rtf](http://www.kcl.ac.uk/equal_opps/confidentiality.rtf)
- King's *Records Disposition Schedule*, 2001, hard copy and at <http://www.kcl.ac.uk/depsta/iss/archives/rmdsched.pdf>
- Student Counselling and Welfare Services, *Code of practice on confidentiality and data protection*, <http://www.kcl.ac.uk/depsta/admsup/stuser/dataprotection.html>
- Academic Secretariat, *Student references policy*, (<http://www.kcl.ac.uk/kis/college/registry/references.pdf>)
- *Financial Procedures* [http://www.kcl.ac.uk/finance/fin\\_procs/fin\\_procs\\_a-i.html](http://www.kcl.ac.uk/finance/fin_procs/fin_procs_a-i.html)
- Archives Advisory Services Committee - Student records working group *Agenda, minutes and papers*, Jan – Oct 2003 (hard copy only)
- Staff Development and Training Unit/Quality Assurance and Academic Audit Section, *Guide to being a personal tutor 2003-2004* (hard copy only)
- Emmerson Consulting Ltd, *King's College London; archives and records management review*, report prepared for the Director of ACRS, Sept 2002 (hard copy only)

Learning and Teaching Support Network (LTSN): website <http://www.ltsn.ac.uk/>

The National Committee of Enquiry into Higher Education, *Higher Education in a Learning Society* (Dearing Report), 1997

Open University Validation Service: website <http://www.open.ac.uk/validate/>

Qualifications and Curriculum Authority: website <http://www.qca.org.uk/>

Quality Assurance Agency for Higher Education: website <http://www.qaa.ac.uk/>, including:

- Progress files for higher education <http://www.qaa.ac.uk/crntwork/progfileHE/contents.htm>
- *Guidelines for HE progress files*, Feb 2001, <http://www.qaa.ac.uk/crntwork/progfileHE/guidelines/progfile2001.pdf>

Standing Conference of Principals (SCOP): website <http://www.scop.ac.uk/Scop.asp>

Universities UK: website <http://www.universitiesuk.ac.uk/>, including

- *Report on the implementation of progress files*, 2003, (<http://www.universitiesuk.ac.uk/progressfiles/downloads/ProgressFiles.pdf>)

University of Liverpool: website <http://www.liv.ac.uk/>, including

- *The SPIDER student system* <http://www.liv.ac.uk/spider/>