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POLICY & PROCEDURES

ACADEMIC ARCHIVING

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1. PURPOSE

Crosby Training is committed to maintaining secure, accurate and accessible learner, assessment, quality assurance and funding records in accordance with legislation, awarding organisation requirements, funding agreements and recognised best practice.

2. SCOPE

This policy applies to all learner, assessment, quality assurance, funding, regulatory, and compliance records maintained by Crosby Training in both paper-based and electronic formats.

3. LEGAL & REGULATORY COMPLIANCE

All records will be managed in line with:

- UK General Data Protection Regulation (UK GDPR)
- Data Protection Act 2018
- Awarding organisation requirements
- Funding agreements
- Regulatory and audit requirements



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4. RESPONSIBILITIES

Internal Quality Coordinator (formerly Internal Verifier)

- Oversees archiving systems for learner portfolios, both paper-based and electronic
- Ensures Internal Quality Assurers (IQAs) understand and follow archiving procedures

Internal Quality Assurers

- Responsible for secure archiving of learner portfolios within their remit

Company Administrator and Administrative Staff

- Oversee personal file archiving systems
- Ensure all personal files are secure and fully documented

All Designated Staff

- Access to archived records is restricted to authorised personnel only.



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5. GENERAL ARCHIVING REQUIREMENTS

- Records may be stored electronically, on paper, or a combination.
- Electronic records must be stored in secure systems suitable for audit, compliance, and evidential purposes.
- Paper records should be stored in secure, lockable, fireproof storage and access strictly controlled.
- Learner files should contain:
 - Learner surname and first name
 - Programme, qualification, or course undertaken
 - Relevant qualification, programme, contract or funding reference numbers
 - Academic year
 - Historical funding references where applicable
 - Archive and destruction dates per the organisational retention schedule

6. RETENTION POLICY

Historically, ESF required records retention for 14 years. ESF no longer operates, but any historic obligations continue to apply to the relevant records.

Crosby Training has chosen to retain **all archived learner, assessment, funding, quality assurance, and compliance records for 14 years** from the learner's completion or withdrawal date, exceeding all current funder requirements.



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7. PAPER BASED PORTFOLIOS

- Following final internal quality assurance, accepted portfolios are placed in the archive system pending any required external quality assurance activity. Files must be clearly labelled with the date internal quality assurance was completed.
- After external quality assurance, portfolios may be returned to learners unless retention is required by funders, awarding organisations, regulators, or audit purposes.
- Before returning portfolios, all necessary assessment, quality assurance, and compliance documentation must be extracted and archived according to this policy.
- Learners who have left training are offered the option to collect or receive their portfolio.
- Records associated with awarding organisations, assessment decisions, internal quality assurance, funding compliance, or audit requirements must remain accessible for the retention period.

8. ELECTRONIC PORTFOLIOS

- After final internal quality assurance, accepted electronic portfolios are securely archived pending external quality assurance.
- Electronic portfolios may be temporarily restored for external verification, audit, appeals, or regulatory review.
- After relevant quality assurance, portfolios are re-archived.
- Where full learner portfolios are not required by awarding organisations, funders, or regulators, only records necessary to demonstrate participation, assessment, achievement, quality assurance, and funding compliance will be retained.
- Records associated with awarding organisations, assessment decisions, internal quality assurance, funding compliance, or audit requirements must remain accessible for the retention period.



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9. LEARNER PERSONAL FILES & SUPPORTING EVIDENCE

- Upon completion, achievement, or withdrawal, learner personal files are reviewed to ensure all required documentation is present. Missing documents are requested from the learner or relevant parties.
- Files are transferred to the completion archive section in accordance with internal procedures.
- Files may remain in active archive for operational reasons before transfer to long-term secure storage.
- Administrative staff maintain an index of archived files, including learner details, completion dates, archive location, and reference numbers, to facilitate retrieval.
- Archive indexes are securely maintained and accessible only to authorised personnel.
- Learner files and associated records required for funding, regulatory, awarding organisation, audit, quality assurance, or evidential purposes are retained for 14 years from completion or withdrawal, unless longer retention is required by law, ongoing investigation, litigation, regulatory instruction, or contractual obligation.

10. SECURITY & ACCESS

- Archived records are accessible only to authorised personnel with legitimate business need.
- Electronic records are protected by appropriate technical and organisational security measures.
- Paper records are stored in secure, fire-resistant facilities with restricted access.



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11. DISPOSAL OF RECORDS

- At the end of the retention period, records are reviewed and securely destroyed in accordance with Crosby Training's data protection, information governance, and records management procedures.
- Destruction protects confidentiality and complies with UK GDPR, the Data Protection Act 2018, and other applicable legal or contractual requirements.