

Quality Assurance and Compliance Office

Quality Assurance: Documentation Retention and Archiving Policy

This policy sets out approved document retention periods in order that Kent may meet its obligations to students; comply with quality assurance requirements; reduce burdens on space and storage; and comply with the Data Protection Act by not retaining documentation longer than is justifiably necessary.

- a) **Data Protection Act 2018:** the Act stipulates that personal data must only be used for the purpose for which it was obtained and kept for no longer than necessary. When personal data is no longer required to be retained, it must be destroyed. For further information, please refer to <http://www.kent.ac.uk/infocompliance/>.
- b) **Retention:** Documentation may be retained for a longer period of time than stated in this document, but the School or office must make explicit the reasons for doing so, e.g. to retain project work that includes original data and/or analysis; for surveys of trends in student achievement; to use as examples to future students. The documentation must be destroyed when the stated purpose has been fulfilled.
- c) **Professional, Statutory and Regulatory Bodies:** Where relevant, Schools should refer to PSRB guidance on the archiving of assessed work to ensure that they will comply with any specific requirements.
- d) **Students:** The policy on the retention of student work and files should be made available to students, .e.g. via the course handbook or School/Division website.
- e) **Formats:** Paper (e.g. files, forms, folders) or electronic (e.g. word processed documents, databases, spreadsheets, web, scanned images). Records held electronically must remain accessible and not lost in obsolete technology. Electronic storage should be reviewed periodically and, if necessary, arrangements made for it to be moved to new software. Long term data should be held on a central server to ensure that it is adequately backed up.
- f) **Storage and Disposal:** If it is helpful to retain both paper and electronic copies as the official record, this may be done; if not the non-official copy should be destroyed as soon as the need for reference ceases.

In order to make disposal easier, make a note on folders or folder lists when they are due for disposal at the creation or closure of that folder.

For each area, there should be someone with responsibility for organising disposal of specific files/data.

Paper documentation with personal data should be shredded on disposal.

- g) Before undertaking **permanent disposal** of student data it is **vital** to ensure that any student marks and results information, including pass lists, are retained by the Central Student Administration Office (CSAO), or on the Student Data System itself. If in doubt, please check with CSAO (csao@kent.ac.uk) before destroying files.
- h) This policy will be a growing document as needs evolve. Any feedback or queries regarding document retention should be directed to qa@kent.ac.uk.

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QACO

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Document Type	Retention Period	Held By
A. Quality and Standards		
QAA HE Review/Institutional Audit/Collaborative Audit documentation - evidence	Electronic - permanent archive Paper - end of Review/Audit year plus six years	(Quality Assurance and Compliance Office) QACO
QAA HE Review/Institutional Audit/Collaborative Audit documentation - process	End of Review/Audit year plus six years	QACO
QAA HE Review/Institutional Audit/Collaborative Audit documentation – response to the results and follow up	Electronic - permanent archive Paper - end of Review/Audit year plus six years	QACO
Working Group for Regulations and Conventions minutes and supporting papers (development of QA policy and procedures) (to 2019-20)	Electronic - permanent archive Paper - end of current academic year plus six years	QACO
Kent Code of Practice	Permanent archive – electronic	QACO
Kent Credit Framework	Permanent archive – electronic	QACO
Periodic Review – documentation for panel	End of the current academic year plus six years	School
Periodic Review – report and response	End of the current academic year plus six years	Division
PASC/CASC course approval minutes and supporting documentation	Paper - end of current academic year plus six years Minutes – permanent electronic archive	QACO
Course specifications	Permanent electronic archive – published on website	On Division website
Module specifications	Permanent electronic archive – published on website	On Division website
External Examiners reports and responses	(From 2009 reports) permanent archive on Sharepoint	QACO
School annual course/module monitoring reports	End of the current academic year plus six years	School
Division annual monitoring reports	End of the current academic year plus six years	Division
Board of Examiner minutes	End of the current academic year plus six years	School
Division Review Panel	End of the current academic year plus six years	Division
All School committee minutes and supporting documentation	Electronic – permanent archive Paper - end of current academic year plus six years	School
All Division committee minutes and supporting documentation	Electronic – permanent archive Paper - end of current academic year plus six years	Division

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Document Type	Retention Period	Held By
Sub-committee minutes and supporting documentation	Electronic – permanent archive Paper - end of current academic year plus six years	As per ownership of sub-committee
Learning and Teaching Board (to 2015-16)/Academic Standards and Quality Committee/Education Board/Graduate School Board (to 2019-20) minutes and supporting documentation Education and Academic Standards Committee/Education and Student Experience Board/Graduate and Researcher College Board (from 2020-21) minutes and supporting documentation	Electronic – permanent archive Paper - end of current academic year plus six years	QACO
B. Collaborative Partnerships		
Collaborative Partnerships approval panel documentation	End of the current academic year plus six years	QACO
Formal agreements with partner organisations (MoU/MoA)	Life of collaboration plus six years	QACO
Register of Collaborative Partnerships	Permanent electronic archive	QACO
C. Student Records		
<i>Note: The recording on the Student Data System of information relating to marks and results etc is the responsibility of the relevant School/Centre where the data was generated. The Central Student Administration Office is responsible for the records on SDS once they have been entered.</i>		
Core student data from registration	Permanent electronic archive Paper - end of last year of registered student relationship with university plus six years	(Central Student Administration Office) CSAO
Core student data from studies	Permanent electronic archive Paper - end of last year of registered student relationship with university plus six years	CSAO
Lists of students registered to a course and photographs of students	Permanent electronic archive	CSAO
Composite mark sheets	Permanent electronic archive	CSAO
Pass lists	Permanent electronic archive	CSAO
Student prizes	Permanent electronic archive Paper - end of last year of registered student relationship with university plus six years	Division
Attendance registers/sheets	Paper - normally, to end of relevant academic year. Note that this requirement will be superseded where there is an additional specific need to retain paper copies, e.g. for UKBA purposes.	School

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Document Type	Retention Period	Held By
	Above data transferred to SDS – permanent electronic archive	CSAO
Records of requests for confirmation of student awards, attendance or conduct from employers or other HEIs	Electronic - end of current academic year plus six years	CSAO
Records of student requests for confirmation of results/transcripts	Electronic - end of current academic year plus six years	CSAO
Records of letters despatched to students	Electronic - end of current academic year plus six years	CSAO
Concessionary/medical evidence	Last action on case plus six years	School
Records of disciplinary/misconduct proceedings against a student	Last action on case plus six years	School
Records of appeals/grievance hearings	Last action on case plus six years	Dependent on level case reaches
Records of analyses and summaries of NSS	End of current academic year plus six years Published report – permanent electronic archive	Planning Office
D. Student Assessment		
<p>Note 1: In all cases where an appeal has been submitted by a student, coursework/exam scripts should be retained until the appeal has been concluded (up to and including appeal to the OIA).</p> <p>Note 2: Work submitted electronically to Turnitin is not stored on University of Kent servers and work submitted via Moodle Assignments becomes inaccessible when students are changed to Status X. Turnitin and/or Moodle should not be used as an archival mechanism and Schools are advised to ensure that work is stored locally and securely (e.g. on CD, DVD, in network folder or as hard copy).</p> <p>Note 3: Recordings on KentPlayer, including student presentations and performances (audio or visual) are purged after two years, therefore, longer term storage of such assessed work must be made in a suitable format.</p> <p>Note 4: Paper versions of composite mark sheets and pass lists must be sent to CSAO for permanent electronic archive, as set out in Section C above. Once permanent archiving has taken place the paper copies can be destroyed.</p> <p>Note 5: Where relevant, Schools should verify Professional Statutory and Regulatory Bodies' guidance on the archiving of assessed work to ensure that they are meeting any specific PSRB requirements.</p>		
Teaching materials placed on Moodle (VLE)	Electronic - end of current academic year plus six years	School (on Moodle)
Educational recordings on KentPlayer (see Note 3 above)	Electronic - end of current academic year plus one year	School (on KentPlayer)
Assessed coursework	Retained as per local policies for doing so (e.g. by Schools or by students themselves) until the end of the academic year in which the student completes their course with the University plus three months, except in cases of an appeal being submitted by the student (see Note 1 above)	

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Document Type	Retention Period	Held By
Examination papers	Permanent electronic archive – may be published on library website	School/may be published on library website
Examination scripts and associated commentary for Foundation Year/Stage 1 (not leading to a separate award) <i>(also refer to Note 4)</i>	Foundation Year/Stage plus one year	School
Examination scripts and associated commentary (other than above) <i>(also refer to Note 4)</i>	End of the academic year in which the student completes their course with the University plus three months, except in cases of an appeal being submitted by the student <i>(see Note 1 above)</i>	School
Taught undergraduate/masters dissertations	Graduation/leaving plus one year MA dissertations may be deposited in the library - permanent	School Library
Theses for degrees by research	Permanent electronic archive Library deposit - permanent	School Library
E. Supervisors/Examiners		
Reports of supervisors and examiners on theses for degrees by research	End of current academic year plus six years	School
Appointment forms/CVs relating to selection and appointment of External Examiners	End of appointment plus one year	QACO
Expenses claim forms from External Examiners	End of the current tax year plus three tax years	Pay Office

Appendix 1

Records which may be routinely destroyed

As a rule, the following types of records have no significant operational, informational or evidential value. They can, therefore, be destroyed as soon as they have served their primary purpose.

- Announcements and notices of meetings and other events, and notifications of acceptance or apologies
- Requests for stock information such as maps and travel directions, brochures etc
- Requests for, and confirmations of, reservations for internal services (e.g. meeting rooms, car parking spaces, pool cars) where no internal charges are made
- Requests for, and confirmations of, reservations with third parties (e.g. travel, hotel accommodation, restaurants) when invoices have been received
- Transmission documents: letters, fax cover sheets, email messages, compliments slips and similar items which accompany documents **but do not add any value to them**
- Message slips
- Superseded address lists, distribution lists etc.
- Duplicate documents such as:
 - 'CC' and 'FYI' copies
 - drafts
 - 'Snapshot' printouts or extracts from databases
 - 'Day Files' (chronological copies of correspondence)
- Personal diaries, address books etc.
- Working papers, where the results have been written into an official document and which are not required to support it
- Stocks of in-house publications which are obsolete, superseded or otherwise useless e.g. magazines, marketing materials, prospectuses, catalogues, manuals, directories, forms, and other material produced for wide distribution
- Published or reference materials received from other parts of the institution or from vendors or other external organisations which require no action and are not needed for 'record' purposes, e.g. trade magazines, vendor catalogues, flyers, newsletters

(Source: JISC)