

CMI Awarding Body

Retention of Records Policy for CMI Centres
and Training Providers - V6

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AB/POL/0010 - January 2026 - V6

History

Date	Amendments Made
January 2026 / V6	<ul style="list-style-type: none">• Incorporated into the new CMI template.• Incorporated CMI Partner Connect• Amended SQA Accreditation to Qualifications Scotland Accreditation
September 2024	<ul style="list-style-type: none">• Complete revision of the policy
July 2019	<ul style="list-style-type: none">• Complete revision of the policy• Insertion of "History" and "Distribution" sections

Intended Audience

- CMI Quality Managers
- CMI Markers and Moderators
- CMI Partner Relationship Managers
- CMI Partner Engagement Managers
- CMI Awarding Body Support Team
- CMI Centres

All of CMI's policies are published on the [CMI Policies Webpage](#)

Purpose

This policy outlines the Chartered Management Institute (CMI's) guidelines and procedures for retaining CMI Centre records, assessment materials and Learners' work. This will include instances where qualification evidence is embedded within programme records and may need to be extracted or evidenced separately.

It ensures that CMI Centres and Training Providers take all reasonable steps to comply with the requests for information for documents made by CMI or the regulators as soon as practicable, thereby fulfilling CMI's regulatory requirements.

Scope

This policy applies to all CMI Centres. It also applies to Training Providers who use CMI as their Apprenticeship Assessment Organisation.

Regulatory Requirements

This policy meets the regulatory requirements set out by our regulators: Ofqual, CCEA Regulation, Qualifications Wales, and Qualifications Scotland Accreditation.

[Ofqual - General Conditions of Recognition](#)

[Qualifications Wales - Standard Conditions of Recognition](#)

[CCEA Regulation - General Conditions of Recognition](#)

[Qualifications Scotland Accreditation - Regulatory Principles \(2021\)](#)

Regulator or Relevant Regulatory Body	Reference Details	Legislation/Regulatory Reference
Ofqual	General Conditions of Recognition	Condition No: C2. Arrangements with Centre
Qualifications Wales	Standard Conditions of Recognition	Condition No: C2. Arrangements with Centre
CCEA Regulation	General Conditions of Recognition	Condition No: C2. Arrangements with Centre
Qualifications Scotland Accreditation	Regulatory Principles 2021	Principle 9: The awarding body and its providers must maintain accurate documents, records and data

Definition

Records are defined as representations in permanent form. This may include documents and other forms of information. For issues relating to Learner/Apprentice details, the [CMI Data Privacy Policy](#) applies.

Retention of Records Requirement

CMI Centres are required to maintain records, programme details and Learner/Apprentice information for each CMI qualification and apprenticeship assessment for a minimum of three years after completion. These records **must** be made available to CMI for external quality assurance or appeal resolution purposes, and to Regulatory Authorities upon request.

Retaining Learners'/Apprentices' Work

Centres must retain Learners' generated work for each qualification until the Learner has been certificated by CMI. All apprenticeship assessment evidence must be retained until the apprentice has achieved their apprenticeship. CMI advises retaining work/portfolios intact for 6 months post-certification, for potential auditing purposes, although the work remains the property of the Learner/Apprentice.

Learner/Apprentice Records

Centres must retain the following Learner/Apprentice records for a minimum of three years, or in accordance with GDPR requirements:

- Learner/Apprentice name
- Date of birth
- ULN (if established)
- Contact address
- Allocated Assessor(s) name (Qualifications Only)
- Allocated IQA(s) name (Qualifications Only)
- Date of registration
- CMI enrolment (P/L) number
- Any particular assessment requirements
- Enrolled CMI qualification/apprenticeship title and level
- Progress records, including unit accreditation and qualification completion dates (Qualifications Only)
- Records of certificates claimed, including unit/credit certificates (Qualifications Only)
- Details of who claimed the certificate and when, Centre Assessment Records. (Qualifications Only)

Centre Assessment Records

Centres must retain the following qualification assessment records for a minimum of three years after completion :

- CMI assessment brief used by the Learners.
- Learners' records, including
 - Evidence of who assessed what unit, assessment criteria and when (date)
 - Evidence of the assessment decision with assessment feedback
- The location of any supporting evidence (for example, portfolios).
- Centre IQA sampling/feedback records
- Records of either CMI Moderation or CMI Marking Service.

Declaration of Authenticity

Assessors and Learners must provide a written declaration or use an electronic 'Click to Declare function" to confirm that the Learner evidence is authentic and that the assessment took place under the conditions or context set out in the qualification and/or assessment documentation. Failure to do this constitutes grounds for a sanction or withdrawal of approval for the qualification/assessment in question.

Quality Assurance Records

Centres must retain the following qualification Quality Assurance records for a minimum of three years after completion:

- IQA records/feedback indicating who quality assured what, when and the feedback provided.
- IQA sampling strategy.
- IQA sampling plan, including details of the sample selected and its rationale.
- Records of IQA standardisation meetings.
- Delivery and Assessor support meetings.
- Records of either CMI Moderation or CMI Marking Service.

Staff Development Records

Centres must provide appropriate training and development opportunities to ensure Centre staff understand the applicable qualification and apprenticeship standards and assessment requirements. CMI will monitor Centre compliance with this requirement, and Centres must maintain relevant records (for example, CMI approved staff continuous development records (CPD)) as evidence.

Evidence of Quality Management of Assessment Records

As part of the quality assurance activity checks, CMI Quality Managers require Centres to demonstrate correct management of assessment records.

The Quality Manager will sample learning tracking records (Qualifications) as part of the Centre's regular Quality Assurance activities. This may involve the sampling of the Centre's MIS system or other suitable systems. Alternatively, if the Centre does not use electronic portfolios, then the CMI Quality Manager may request that the Centre upload the relevant assessment evidence to the Moderation system for further sampling.

Failure to Retain Sufficient Records

If a Centre fails to comply with the requirements for maintaining auditable records and cannot substantiate claims made on behalf of Learners/Apprentices, CMI will take appropriate measures to safeguard the consistency and integrity of the qualification. CMI will inform the Regulatory Authorities of such cases and initiate agreed investigative procedures.

Data Protection

CMI Centres are required to maintain all Learner records and details of achievement in an accurate, timely and secure manner in line with the requirements of CMI and Data Protection Legislation and make these records available for external quality assurance and auditing purposes, as required. CMI's Data Privacy Policy can be found on our website on the [CMI Policies Page](#)

Monitoring and Review

This policy will be reviewed in line with CMI's Document Control Policy.