

# CMI RETENTION OF RECORDS POLICY

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## PURPOSE

This policy sets out guidelines and procedures for retaining CMI Centre records, assessment materials and Learners' work.

## INTRODUCTION

The regulatory authorities require CMI to have a published policy for retaining CMI Centre records, assessment materials and Learners' work, which will ensure that adequate information is available to CMI at all times.

## SCOPE

This policy applies to all of CMI Awarding Body and CMI Centres.

## DEFINITION

Records are defined as representations in permanent form. This may include documents and other forms of information. For issues relating to Learner details, the CMI Privacy Policy prevails.

## RETENTION OF RECORDS REQUIREMENTS

We require CMI Centres to maintain records, programme and Learner details, relating to each CMI qualification, for a minimum period of three years and to make them available to CMI for the purposes of resolving any issues arising from external verification or appeals. Such records must be made available to the Regulatory Authorities upon request.

These must include:

- Learner name
- Date of birth
- Contact address
- Assessor's name(s)
- Internal Verifier's name(s)
- Date of registration with CMI

Learner assessment records detailing:

- Who assessed what and when
- The assessment decision
- The assessment methods used for each unit
- The location of the supporting evidence
- Records of certificates claimed including unit/credit certificates
- Details of who claimed the certificate and when

Together with records of internal verification activity detailing:

- Who verified what and when, details of the sample selected and its rationale
- Records of Internal Verifier standardisation meetings
- Records of Assessor support meetings
- Assessor and Verifier competence records and monitoring records of Assessor/Internal Verifier progress towards achievement of the relevant Assessor and Internal Verifier qualifications

Centres must provide appropriate training and development opportunities to enable Assessors to have an understanding of the standards and other assessment requirements that apply. CMI will monitor a CMI Centre's compliance with this requirement and Centres must keep relevant records of such activity, (e.g. staff development records) as evidence.

## RETENTION OF ASSESSMENT MATERIALS

CMI requires Centres to retain assessment materials, for each qualification, for a minimum period of three years to make them available for the purposes of resolving any issues arising from external verification or appeals. Such records must be made available to the Regulatory Authorities upon request.

A copy of the assignments and work demanded of Learners, mapped to the assessment guidelines or learning outcomes, to show that all qualification requirements have been met by Learners and that the assessments themselves are valid, reliable, fair and appropriate.

## LEARNERS' WORK

CMI requires Centres to retain Learners' work, for each qualification, until CMI has completed the moderation process to CMI satisfaction. It is advisable that the Learners' work/records should be retained intact for **six** months, in case it is required for auditing purposes.

## REPRESENTATIVE SAMPLES OF LEARNERS' WORK

Centres are required to retain representative samples of Learners' work. There should be samples for each qualification for which the Centre has Learners, and the samples should ensure that each delivery method for each qualification is covered. The minimum requirement is that there should be **one complete Learner portfolio for each qualification**, and **each delivery method for each academic year**. The academic year is from 1 September to 31 August. The portfolio may be a copy rather than the original, and the Learners written agreement for its retention **must** be obtained. Such samples should be held by the Centre for **three** years.

## REGULATORY BODY REQUIREMENTS

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

## DATA PROTECTION LAW

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 Privacy Policy can be found on its website.