

Retention of Records Policy

V2.0

Introduction

This is version two of the Retention of Records Policy and replaces all previous versions. This document is subject to regular revision and maintained electronically by its owner. Electronic copies are version controlled. Printed copies are not subject to this control.

Date	Section	Change	Reviewed by
January 2023	All	Reviewed	R Lowbridge

Change history (V1.0)

Section	Change
All	Revamp to include clarification and examples. Restructure of policy to align to other SFEDI Awards policies.

Scope

This policy applies to all approved Centres offering SFEDI Awards qualifications. This policy sets out guidelines and procedures for retaining SFEDI Awards Centre records, assessment materials and learners' work. For issues relating to learner details, the SFEDI Awards Privacy Policy prevails.

Definition

Centres must keep adequate records to track learner progress and allow for the independent authentication of certification claims, and external quality assurance.

Examples

Centre records should include the following:

A list of all learners registered for each qualification offered, including their:

- Name, date of birth and contact details
- Starting date at the Centre
- Date of registration with SFEDI Awards
- Learner registration number
- Unique Learner Number/Scottish Candidate Number (if applicable)
- Assessors' and tutors' name(s)

- Internal Quality Assurer's name(s).

Learner assessment records should be kept for 3 years and include:

- Who assessed what and when
- The assessment decision
- The assessment methods used
- The location and storage location of relevant supporting evidence.

Records of internal quality assurance activity detailing:

- Who quality assured what and when
- The sampling strategy, including the sample selected and the rationale for choosing that sample
- Details of Internal Quality Assurer standardisation activities, along with any evidence of internal updating Assessor support meetings
- Assessor and Internal Quality Assurer competence, including copies of certificates, experience, and records of their continuing professional development and relevant qualifications
- Records of certificates claimed – who claimed them and when
- Records of learner appeals – who appealed, about what, when, and the outcome
- Records of learner complaints – who complained, about what, when, and the outcome.

Centre Responsibilities

Learner Evidence

As part of our ongoing quality assurance monitoring, we review the assessments produced by learners as evidence that they have achieved the requirements of a qualification to allow for certification. In most cases, this evidence of assessment for SFEDI Awards qualifications, is a learner portfolio of evidence.

In order that we can access the required information, Centres are required to retain learner evidence until such a time that a monitoring activity has taken place to ensure the EQA can verify the assessments if they form part of their sampling strategy. On completion of such an intervention, the Centre may then release all learner evidence where a qualification has been completed and the certification claimed for. This will include all evidence prior to the date of the monitoring intervention, even where a particular learner's evidence has not been selected for EQA sampling. Where there is still a live appeal, complaint or case of Maladministration or Malpractice relating to a particular learner (s) the records may need to be kept beyond this date. SFEDI Awards EQA or quality team will be able to advise on this.

Centre Documentation

To facilitate auditing by SFEDI Awards and any Regulator and the proper management of any appeal process, Centres must retain records of assessment and internal quality assurance for a rolling period of 4 years.

It is not necessary to retain learners' assessment materials, i.e., those produced by learners on the basis of which assessment was made, e.g., portfolios, projects, assignments, etc., only the records that support the Centre's internal quality assurance.

Centres must keep adequate records to track learner progress and allow for the independent authentication of certification claims, and external quality assurance.

Data Storage

Centres are expected to maintain learner information for three years as per our Quality Assurance policies.

Certificates unclaimed by learners should be retained by centres for a minimum of 12 months and either be destroyed after that time or returned to SFEDI Awards for disposal.

Legislation

SFEDI Awards 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 SFEDI Awards and the General Data Protection Regulation (EU) and Data Protection Act (UK) and make these records available for external quality assurance and auditing purposes, as required. Centres must have their own arrangements for retention, archiving and disposal of documentation. SFEDI Award's Privacy Policy can be found on our website.

Regulation

We require SFEDI Awards Centres to maintain records, programme, and learner details, relating to each SFEDI Awards qualification, for a minimum period of three years and to make them available to SFEDI Awards for the purposes of resolving any issues arising from external quality assurance or appeals. Such records must be made available to the Regulators upon request.

If a Centre fails to comply with the requirements for maintaining auditable records and cannot substantiate claims made on behalf of learners, SFEDI Awards will take appropriate measures to safeguard the consistency and integrity of the qualification. SFEDI Awards will inform the Regulators of such cases and initiate agreed investigative procedures as per our Malpractice and Maladministration procedures.

Review Arrangements

We will review this policy as part of our annual self-evaluation arrangements and revise it as and when necessary in response to customer and learner feedback, changes in our practices, actions from the regulatory authorities or external agencies, changes in legislation, or trends identified from previous allegations.

In addition, this policy may be updated considering operational feedback to ensure our arrangements for dealing with Retention of Records remain effective.

If you would like to feedback any views, please contact us via the details provided at the end of this policy.

Other Related SFEDI Policies and Documents

- SFEDI Awards Malpractice and Maladministration Policy
- SFEDI Awards Privacy Policy
- SFEDI Awards Registration and Certification Policy

Contact Us

If you have any queries about the content of this policy, please contact our customer service department.

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