

ARCHIVING AND RETENTION OF LEARNER RECORDS

Introduction

This Policy summarises the systems and arrangements in place within Steadfast Training Ltd that govern the control of operational records and learners' personal files, as well as The Company's practice in respect of archiving and the storage of such records. These arrangements are intended to reflect both contract and legislative requirements. The Policy also outlines who is responsible for what.

1. Storage of Learner Records for Programmes in progress

1.1. Each set of Learner records will be maintained in a secure location within Steadfast Training Ltd's offices, by the Contracts and Compliance Department, in such a manner as to prevent deterioration or spoilage.

1.1.1. Records will be collated and filed in an orderly fashion and indexed so as to be easily retrievable.

1.2. A Quality Records Log will be maintained which will identify the following for each set of records, taking into account statutory requirements as applicable.

1.2.1. Location of storage.

1.2.2. Disk References, where records are stored on word processor / computer.

1.2.3. Length of time records are kept ("Retention periods").

1.2.4. Responsibilities for maintenance and control.

1.2.5. Employees who are authorised to have access to individual sets of records.

1.3. Following completion of a learning programme, candidate evidence will be retained by The Company until the next External Quality Assurer (E.Q.A.) visit, to ensure their availability for sampling by the E.Q.A.

2. Archiving and Storage of Learner Records from Completed Programmes (Hard copy and electronic records)

2.1. All assessment and verification records will be retained for a minimum of 3 years after certification. These records include:

- Registration and certification records
- Assessment plans
- Observation records
- Records of feedback given to candidates
- Candidate reviews
- Internal verification sampling strategy
- Internal verification plans

- Sampling records
- Records of observation of assessment practice
- Feedback given to assessors
- Candidate interview records
- External verification reports
- Records of standardisation of assessment practice
- Assessor/ verifier CPD records

2.1.1. If the delivery of a particular contract was funded from monies from the European Social Fund, or if payments made under the Contract for Services have been used as match-funding for a European Social Fund Co-Financing Project, then The Company will retain all necessary records and documents (as referred to in 2.2.1.1 below) until 31st December 2022 at the earliest.

2.2. Obsolete records will be processed as follows:

2.2.1. Historical records will be archived under the control of the Contracts and Compliance Department for a period of 6 years from the end of the financial year in which the last payment is made.

2.2.1.1. Such documents will include original invoices; management information returns and all other documents necessary to verify the Services delivered in relation to the contracts delivered.

2.2.2. If the delivery of a particular contract was funded from monies from the European Social Fund, or if payments made under the Contract for Services have been used as match-funding for a European Social Fund Co-Financing Project, then The Company will retain all necessary records and documents (as referred to in 2.2.1.1 above) until 31st December 2022 at the earliest.

2.2.2.1. The arrangements referred to in 2.2.2 above will apply whether the Services have been provided by Steadfast Training Ltd directly or by a sub-contractor of Steadfast Training Ltd acting on their behalf.

2.2.2.2. The Company acknowledges that failure to comply with this requirement carries a financial penalty.

2.2.3. On the due date, paper documents will be shredded and disc held material destroyed by appropriate means.

2.2.3.1. Destruction and disposal of archived material requires authorisation by a Director.

2.3 **Electronic data retention**

Further information in respect of IT Company Usage and Data retention refer to Policy 114 – IT Computer Usage

3. **The Company's Responsibilities**

3.1. The Company is responsible for ensuring that all records and documents,

including final portfolios, and whether paper based or on disc, are kept safely and securely in accordance with the appropriate legislation / regulations governing the storage periods for such files/ documents.

3.1.1. This applies to archived records as well as those currently in use.

3.1.2. The Senior Contracts and Compliance Manager will be responsible for keeping up to date with current guidelines in force.

3.1.3. Records will only be accessible by the Contracts and Compliance team.

3.1.4. A log of archived records will be maintained by the Contracts and Compliance Department.

3.2. Assessors and Tutors are responsible for taking due care of Candidates work whilst in their possession, and in particular for the safe transportation of a candidate's work back to The Company's offices for assessment and/or storage.

3.2.1. When taking custody of elements of a candidate's portfolio of work for assessment, the relevant Assessor is responsible for giving the candidate a signed and dated receipt for their work.

4. Candidate Responsibilities

4.1. At the start of their programme 'The candidate' will be required to sign a portfolio retention document agreeing to keep a copy of their portfolio of study for 18 months post completion.

4.1.1. For any paper based assignment/study material, the candidate will be responsible for their portfolio of evidence up to the point when they hand it to an assessor for assessment. The candidate should obtain a receipt for the portfolio when handing over to their Assessor for assessment.

ADDENDUM TO POLICY 200

Retention, Storage and Archiving Policy with regard to Assessment and Quality Assurance

1. Aim

To ensure the availability and safe-keeping of all assessment and verification documents and files which may be subject to regulation, audit, inspection, appeals and issues relating to external moderation, and in line with awarding organisation requirements and the Data Protection Act 1998.

2. Scope

This policy and procedures apply to all employees and learners of Steadfast Training Ltd, at all locations.

3. Responsibilities

The Quality and Curriculum Manager and Contracts and Compliance Manager will ensure the coordination and monitoring of the policy, and their annual evaluation and review.

Persons responsible for each aspect of the retention, storage and archiving of documents and files have been identified and are to follow Company procedures. Those identified are responsible for controlling who has access to records, recording removal of records from storage and maintaining a system to ensure they are returned by a set date.

4. Implementation

	Document	Time to be retained	Person responsible	Location
1.	Candidate registration records			
		3 years after certification date	Contracts and Compliance team	
		6 years after certification date		
2.	Candidate certification records			
		3 years after certification date	Contracts and Compliance team	
		6 years after certification date		

3.	Assessment records			
	<p>Candidate records Showing name, date of birth, address, workplace and contact details, their assessor and Internal Quality Assurer, dates of registration with awarding organisation, details of award (electronic and paper based portfolio)</p> <p>Candidate assessment records Interim and final, detailing who assessed what and when, the assessment decision, assessment methods used for each unit/component and the location of supporting evidence</p>	<p>3 years after certification date</p> <p>3 years after certification date</p>	<p>Delivery team</p> <p>Delivery team</p>	
4	Internal Quality Assurance records			
	<p>Records of Internal Quality Assurance and moderation activities Detailing who verified/moderated what and when, the details of the sample selected and its rationale as described in the sampling strategy</p> <p>Records of Internal Quality Assurance standardisation and assessor support meetings and activity</p>	<p>3 years after certification date</p> <p>3 years after certification date</p>	<p>Delivery team</p> <p>Delivery team</p>	
5	External Quality Assurance records			
	<p>External Quality Assurer reports and action points, programme action plans, monitoring reports and records of action taken</p>	<p>3 years</p>	<p>Delivery team</p>	
6	Review of and evaluation	3 years	Quality &	

	records of SAR, QIP actions plans and monitoring		Curriculum Manager	
7	Candidate portfolios			
	These remain the property of the candidate but need to be made available at Head Office for assessment, quality assurance, inspection and external audit	18 months from certification or until external quality assurer visit if longer If portfolio not claimed by candidate 3 years	Contracts and Compliance team	

5 Lost or accidentally destroyed Candidate portfolios

All portfolios and supporting evidence must be available to the Awarding Organisations External Quality Assurers or moderators for audit. Where a programme has direct claims status, then portfolios and assessment materials must be retained until the next external quality assurer visit.

If loss of a portfolio or assessment workbooks should occur, then the Quality and Curriculum Manager will contact the External Quality Assurer/Awarding Organisation. The External Quality Assurer will wish to be actively involved, to meet and interview all the parties involved and maintain records of the incident. The External Quality Assurer will consider whether the centre is normally reliable and whether similar incidents have occurred previously.

They will also consider:

- If the evidence has not been seen/assessed by the assessor – then the candidate will have to resubmit
- If the assessor has been involved then there should be assessor records, which will be supplemented by a written statement by the assessor as to what has been observed etc.
- If the evidence has been internally quality assured, then written statements from both the assessor and IQA should be included, incorporating comments as to the circumstances of the loss.
- If the entire portfolio or work booklet has gone astray then the statement should be more detailed and accompanied by a record of some detailed questioning by the assessor, which has been reviewed by the IQA.