

**EC  
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**Record Keeping Policy RV2-0**

## Record Keeping Policy

To meet the requirements of the ECITB Awarding Organisation and the regulators, Approved Centres must establish and maintain systems for recording assessment decisions which are reliable and auditable and meet GDPR requirements and must maintain electronic and/or hard-copy records to allow for the independent authentication of any claims for certification.

The minimum record requirements are:

- **Candidate Information** for all registered candidates:
  - candidate name
  - candidate's ECITB candidate number
  - candidate's Unique Learner Number
  - ECITB qualification
  - date of birth
  - contact address
  - contact email
  - workplace address and contact details
  - assessor(s) name(s) and signature (s)
  - internal quality assurer(s) name(s) and signature (s)
  - date of registration with the awarding organisation
  
- **Candidate Assessment Records** detailing:
  - candidate induction records, including evidence of identity authentication
  - assessment plans
  - list of units achieved, date, name of Assessor and location of assessment
  - assessor observation Reports, signed and dated
  - evidence checklists
  - evidence mapping matrix
  - record of assessor assessment decisions for each unit
  - record of internal quality assurance carried out and outcome
  - Statement of Authenticity signed by candidate, assessor and internal quality assurer
  - ECITB Candidate Assessment Record if applicable
  
- **Internal Quality Assurance Records** detailing:
  - IQA(s) name(s) and copies of signatures
  - sampling plans for all ECITB qualifications that include details of the sample selected and rationale on IQA sampling plans and records
  - records of internal quality assurer feedback to assessors
  - records of internal quality assurer sign-off for certification for each candidate/qualification
  - records of internal quality assurer standardisation meetings
  - records of assessor support meetings
  - assessor and quality assurer competence certificates, c.v.s and cpd records
  - assessor and internal quality assurer qualifications certificates
  
- **Certification Claims** detailing: records of certificates claimed (including unit and credit certificates) including who claimed the certificate and when.

Approved Centres are required to retain the above records for a **minimum of three years**. Such records must be made available to the ECITB Awarding Organisation and/or their regulators upon request.

## Record Keeping Policy

It is the duty of the ECITB Awarding Organisation to safeguard the consistency and integrity of the qualifications it awards. Approved Centres that fail to comply with the record keeping requirements and cannot substantiate certificate claims may have their approval withdrawn and notification of non-compliances may be referred to the regulator.

### **Review Arrangements**

We will review this procedure as part of our continuous improvement arrangements and revise it, as and when necessary, in response to customer, candidate or regulatory feedback (e.g. to align with any enquiries process established by the regulators) and to identify any trends that may emerge in the subject matter of enquiries received.

### **Contact us**

If you have any queries about any aspect of this process, please contact:

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