



ECITB Awarding Organisation Record Keeping Policy and Procedure RV2-1

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Introduction

To meet the requirements of the ECITB Awarding Organisation and its regulators, Approved Centres must establish and maintain systems for recording and retaining assessment records, including assessor assessment decision. Records must be accurate, reliable, auditable and meet GDPR requirements. Assessment records may be electronic and/or hard-copy and should allow for the independent authentication of any claims for certification.

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fail to comply with the record keeping requirements and cannot substantiate certificate claims may have their approval withdrawn and notification of non-compliances may be referred to the regulator.

Minimum Records for Retention by Approved Centres

Approved Centres are required to retain, as a minimum, the records as outlined below.

Candidate Information

The following information must be retained for all registered candidates:

- candidate full name;
- candidate's ECITB candidate number;
- candidate's Unique Learner Number (if applicable);
- name of the ECITB qualification for which the candidate is registered;
- 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

The following records must be retained for all registered candidates:

- 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 to assessment criteria 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
- the ECITB Candidate Assessment Record (if applicable).

Internal Quality Assurance Records:

The following records must be retained for all qualifications:

- 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

Records of certification claims including qualification, unit and credit certificates for all ECITB qualifications. Records must provide information on who claimed the certificate and when.

Record Retention Period

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.



Review Arrangements

This policy and its associated procedures will be reviewed and revised, as and when necessary, as part of continuous improvement arrangements and/or in response to customer, candidate or regulatory feedback (e.g. to align with any enquiries, processes established or revised by the regulators) and/or in response to any trends that may emerge in the subject matter of enquiries received.

Contact Details

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

The Awarding Organisation
Engineering Construction Industry Training Board
Office Suite KD3, First Floor, KD Tower,
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