



# LOST PORTFOLIO POLICY

Issue Number	Effective Date	Amendments	Reason for Amendments
3	**/**/2023	Update narration throughout to reflect current IMI requirements	Compliance review

## INTRODUCTION

This policy states the actions required by the centre in the event of a loss of a candidate's portfolio of assessment evidence, in order to mitigate the potential issues that could arise. In line with IMI and regulatory requirements, centres must take all reasonable steps to ensure the safety of candidates' work and portfolios, whether they are in transit or being stored on the centre's premises (hard copy or electronically), adhering to GDPR requirements at all times. This policy is provided to assist all parties involved in the event of a candidate's work being lost.

## WHAT TO DO IN THE FIRST INSTANCE

Before reporting to the IMI, centres must ensure that all possible searches for the lost portfolio/work have been made including, contacting any third parties that could have had access to the portfolio, work or file. If following a full and exhaustive search the evidence remains lost, then the following procedure is to be followed.

## REPORTING LOST EVIDENCE

For the purpose of this policy, whether the term 'portfolio', 'work' or 'file' is used, it signifies/assumes that the candidate has either completed their portfolio/assessments across the qualification in full, or that such a significant percentage of the qualification has been completed it would be impractical to redo it again.

N.B. Evidence files which are partially completed (full unit achievement), will only be considered for unit certification, where the following requirements support this.

Therefore should a candidate's evidence be lost and there is no other method of retrieval or it would be impractical to do so, the centre must complete a [Lost Portfolio Notification Form](#) in full. The centre must also provide the following supplementary evidence where applicable/available:

- Photocopy evidence of theory exam marking sheet (where applicable)
- Attendance registers
- IMI on-line assessment Records of Achievement
- Copies of assessor's action/assessment plans and reviews (formative and/or summative)
- Evidence of any digitally recorded assessments
- Reviews / tutorial records that have indicated competence
- Internal quality assurance records available specifically relating to the candidate
- Witness statement from the employer/assessor/internal quality assurer (IQA) to confirm candidate competence, skills, knowledge and understanding
- Completed candidate interviews by the IQA
- Evidence of written feedback given from the assessor to the candidate
- Evidence of the portfolio being posted if the portfolio has been lost due to the postal system

Applications must be supported by supplementary evidence (where applicable) and always with a witness statement from the appropriate responsible person such as Centre Coordinator, employer, assessors and IQA. The witness statement should provide an overview of the evidence the candidate had created.

Once the Lost Portfolio Notification Form has been fully completed and signed by all parties, the centre must raise an enquiry form on Centres Hub and attach the completed form as well as all supplementary evidence before submitting it. It will then be allocated to your External Quality Assurer (EQA) who will review the completed Lost Portfolio Notification Form and all supplementary information.

The EQA may wish to interview the candidate and the assessor to support the line of inquiry and will provide a full response within 20 working days from the receipt of a correctly completed Lost Portfolio Notification Form and supplementary evidence. The EQAs decision will be final.

## A STEP BY STEP PROCESS OF REPORTING A LOST PORTFOLIO

### Step 1

Centre must raise a Centres Hub enquiry form attaching a completed [Lost Portfolio Notification Form](#) and supplementary evidence.

### Step 2

The IMI will assign the Centres Hub enquiry form to the appropriate External Quality Assurer (EQA).

### Step 3

The EQA will undertake a full review and respond to the centre within 20 working days from receipt of a correctly completed Lost Portfolio Notification Form and any supplementary evidence\*\*.

### Step 4

The EQA must inform the EQM in all instances of the outcome of the lost portfolio/s and the evidence reviewed. However, this may also form part of a wider investigation and the EQA involved, will be required to work with the EQM to the final resolution\*\*.

*\*\*Note: In some cases, the review process may take longer, for example, if a centre visit is required, or additional evidence is requested. In such instances, the IMI will contact all parties concerned to inform them of the likely revised timescale. Where a visit is required, the centre may be charged an additional visit fee (see [IMI Centre Fees List](#)).*