

Centre retention of assessment materials

Policy and procedures

Contents

Centre retention of assessment materials policy

Effective from:	April 2021
For the attention of:	Heads of Centre/ASDAN QA

Policy owner	Policy Approver
Qualification Manager	Compliance Manager

Review history		
Date	Version	Reviewed by
2017	Version 1 Draft created and approved	Head: Quality Assurance and Qualifications
April 2019	Version 1.1	Compliance Manager
April 2021	Version 2	Compliance Manager
April 2022	Layout in new design template	Compliance Manager
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1 General

1.1 Introduction

As an approved awarding organisation ASDAN must maintain rigorous quality assurance and control arrangements as outlined in the General/Standard Conditions of Recognition.

Awarding organisations are required to monitor centres to ensure they are acting in accordance with the Conditions. This includes keeping records of candidates' registration and achievements, and ensuring that the specified levels of attainment set for ASDAN qualifications remain consistent over time and between similar qualifications.

2 Requirements

The following guidance is provided to centres on the retention of assessment materials both paper and electronic-based:

1 Centres must maintain

- Registration records of all candidates registered with the awarding organisation. These records must include all the details requested by the awarding organisation at registration. They must be retained and available for inspection by the awarding organisation or regulators for up to five years following registration.
- Ongoing records of candidates' formative and summative achievements. These materials may be useful in the event of reasonable adjustments, or irregularities or appeal, and access to this information may be requested by the awarding organisation, or regulator. Summative records must be retained and available for inspection by the awarding organisation for up to one year following the receipt of results (or outcome of any appeal). Summative materials include copies of staff records of candidate achievements and copies of individual candidate record sheets or assessment checklists.
- Records of all final results and details of certification for registered candidates. These must be retained and available for inspection by the awarding organisation or regulators for a minimum of three years following registration.

2 Portfolios of evidence are the property of the candidate and therefore cannot be retained indefinitely. However access may be required for purposes of appeal, audit or on-going monitoring. It is advisable to retain candidate work (eg portfolios) after moderation and for a short period (eg up to six months) following the issue of results to facilitate access at this time. Evidence is then returned to the candidate on condition that further access may be required at a later date.

3 Centres are also required to keep representative samples of candidate work for their own monitoring and standardisation activities. For each qualification, there should be a minimum sample of one complete learner portfolio for each qualification for which the centre has learners, for each academic year. The portfolio may be a copy rather than the original, and the learner's written agreement for its retention must be obtained. These samples should be held by the centre for three years.

4 Centres may be required to supply examples of candidate work to the awarding organisation (or regulator) for purposes of ongoing monitoring of standards. These may be copied and retained, but originals will be returned. This material will remain confidential to the awarding organisation and regulators, unless specific permission is sought of the centre/candidate for it to be used for training and/or standardisation purposes. Portfolios may be kept by the awarding organisation for up to 5 years, in line with GDPR and ASDAN's Data Privacy policy.

All records may be maintained and retained electronically and/or using hard-copy. The timescales referred to above are the minimum requirements of the awarding organisation. Many centres may wish to retain some information, on candidate achievement for example, indefinitely.

2 Requirements

2.1 ASDAN and GDPR

ASDAN takes the data privacy of its customers very seriously and is committed to ensuring that all personal data it handles adheres to the General Data Protection Regulation (GDPR). The section below provide more information on how we work to the highest standards in protecting the data of our centres and learners.

As an awarding organisation ASDAN will retain and make available to the regulators assessment materials for each qualification, in line with regulatory requirements and **ASDAN's GDPR and Privacy policies***, in the following ways:

- 1 Registration records of all candidates from all centres.
- 2 Records of moderation, including sampling records and reports from all centres.
- 3 Centres may be requested to supply examples of candidate work to the awarding organisation (or regulator) for purposes of ongoing monitoring of standards. These may be copied and retained, but originals will be returned. This material will remain confidential to the awarding organisation and regulators, unless specific permission is obtained from the centre/candidate for it to be used for training and/or standardisation purposes.
- 4 Records of all final results, including exemptions, and details of all certificates issued to registered candidates.
- 5 Records of all reasonable adjustments, irregularities, enquiries and appeals.
- 6 All data specified and requested by the regulators will be supplied.


All records specified in 1–6 above will be retained electronically and/or using hard-copy.

[*asdان.org.uk/policies-regulations-and-centre-guidance](https://www.asdan.org.uk/policies-regulations-and-centre-guidance)

3 Associated policies and procedures

Policy name	Responsible person
Certification policy	Member Manager
Centre monitoring policy – audit	Compliance Manager
Centre approval policy	Compliance Manager
Complaints policy and procedure	Member Manager
Appeals policy	Compliance Manager
Malpractice and maladministration policy	Compliance Manager



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