Secure Acquisition and Storage of Assessment Materials Policy and Procedure

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Equality Impact Assessment Date: 18-8-2020

Contents

History of Changes

Version	Description of Change	Authorised by	Date
1.1	Addition of reference to Risk Assessment document	J Stalker	28-5-18
1.2	Addition of section on GDPR Compliance with regard to Storage and Retention of Student Assessment Evidence	J Stalker	08-08-18
1.3	Updated to reflect change in job titles

Addition of Inclusiveness statement | B Brownlee | 18-8-2020 |

West Lothian College is an inclusive organisation and all policies, procedures, strategies, plans, provisions, criteria, functions, practices and activities, including decisions and the delivery of services are assessed to consider the impact on staff and students covered by the Equalities Act 2010 by the completion of an Equalities Impact Assessment (EIA). Protected characteristics are defined as age, disability, gender reassignment, marriage or civil partnership (in employment only), pregnancy and maternity, race, religion or belief, sex, sexual orientation.

Please see end of this document for EIA.

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Introduction

The security of assessment materials, including assessment instruments, exam question papers, scripts and electronically stored evidence, is the responsibility of all academic staff. This is particularly important for assessment materials which are used for assessment in controlled conditions, for example closed-book assessments and HN Graded Unit exams.

External Assessment

Materials for external assessment are sent directly to the Examinations Officer and are stored under lock and key in the Student Systems safe and checked by the Chief Invigilator and the Examinations Officer. Completed candidate scripts are gathered up by the Chief Invigilator and the Examinations Officer or another authorised member of the Student Systems team and locked in the safe until being dispatched by courier to the awarding body for marking. Special assessment arrangements materials are received and checked by the Examinations Officer.

Internal Assessment

1   Requests for assessment instruments from the SQA Secure website must come through the Quality team, from the agreed Factuly Named Person, either the Faculty Director or Learning and Skills Manager. Requests from other staff members will not be serviced.

2   Assessment instruments downloaded from the SQA Secure website will be sent via college staff email accounts unless it is impossible to do this. In these cases an arrangement must be made with the Quality team.

3   The Quality team will log and monitor all requests for assessment materials.

4   Once assessment materials have been received by the Named Person it is their responsibility to ensure that they are stored securely, for instance on an encrypted memory stick, a secure personal drive or in a secure area of the staff intranet to which only they have access.

5   Assessment Instruments should only be passed on to lecturers/assessors by the Faculty Named Person, who has knowledge of individual's rights of access, and staff should only have access to assessment instruments for units that they are or will be timetabled to teach.

6   When printed off the assessment materials must be passed on securely. Printed assessment materials must be stored securely at all times in either locked cabinets or locked rooms with controlled access. They must not be left in public places (including unsupervised classrooms) or areas which are accessed by students or staff from outwith the teaching area.

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7   Photocopying of assessment materials should be via the College Administration team. However, if a lecturer/assessor is copying assessment materials themselves they must not leave the photocopier unattended and must ensure that they remove all the assessment materials and copies.

8   Assessment materials which are delivered under controlled conditions must be supervised while in use and collected back in. Spare assessment instruments and materials past the evidence retention period must be either destroyed securely by shredding or stored securely again.

9   Students must be made aware that taking away assessments, copies or images of assessments which are delivered under controlled conditions is malpractice and could result in disciplinary action (*see Academic Malpractice Policy and Procedure*).

10   It is also malpractice for staff to give assessment materials, copies or images of assessments to students outwith the assessment process, without good reason or permission (*see Academic Malpractice Policy and Procedure*).

11   Student's assessment evidence must also be held and moved securely. This is necessary to protect the interests of students and the integrity of the assessment by ensuring that the evidence cannot be tampered with.

12   Any breaches of security of assessment must be reported immediately to the Head of Service: Quality, Student Support and Learning Resources in order that the relevant awarding body can be notified.

13   All units must have a control file which should be stored electronically with access restricted to only staff delivering and assessing the unit.

14   External Verifiers will need to be given secure access to electronic evidence during a visit.

Graded Units

1   Graded unit assessments are printed off by the authorised lecturer and passed to the Examinations Officer who organises room set up.   The exam invigilator will collect all completed papers and return these to the Examinations Officer who stores these securely in the Student Systems safe until the authorised lecturer collects them for marking purposes.

2   Graded Unit assessment papers should be returned to the Student Systems Examinations Officer for shredding.

3   Graded unit assessment papers will be rotated on a minimum three year cycle to prevent plagiarism.

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4   Where Graded Unit evidence is submitted electronically, the evidence must be submitted and received securely. Students must be able to protect/lock their evidence before they submit it and it must be stored securely in a restricted access file within the Faculty throughout the assessment process and until the assessment and verification processes are complete.

Storage and Retention of Student Assessment Evidence and GDPR Compliance

1   For the purposes of GDPR, student assessment evidence will include any material, electronic or hard copy, that contains personal details and information relating to the student, or to individuals or a company, used in the production of that assessment evidence.   All staff have previously been sent information on what personal details include.

2   Each Faculty must carry out a Data Protection Impact Assessment (DPIA) to identify types of assessment evidence and steps that will be taken to minimise risks of non-compliance under GDPR.

3   Electronic student assessment evidence must be stored securely in a restricted access file within the Faculty throughout the assessment process and until the assessment and verification processes are complete.

4   Hard copy student assessment evidence should be stored securely in an identified storage space which is lockable and which has restricted access for authorised staff only.

5   Student assessment evidence, whether electronic or hard copy, should only be gathered, used and retained as required by College and awarding body quality policy and procedure and according to identified timescales.

6   All staff are responsible for ensuring that student assessment evidence is stored securely while being processed for marking.

7   All staff are responsible for ensuring that marking takes place in a secure environment and that personal details and information are kept confidential.

8   Student assessment evidence, whether electronic or hard copy, should be disposed of securely when no longer required.   This will normally be through shredding the material in a secure environment or deleting as appropriate.

Related Documentation

- Risk Assessment Secure Storage of Exam Materials 15-3-18

- DPIA Impact Assessment Storage and Retention of Student Assessment Evidence 08-08-18

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Equality Impact Assessment

Before carrying out an EIA, you should familiarise yourself with the College's EIA Policy Statement and Guidance, along with further information and resources which are available on iShare.

EIA covers **strategies**, **policies, procedures, plans, provisions, criteria, functions, practices and activities, including decisions and the delivery of services**, but will be referred to hereinafter as 'policy/practice'.

Policy/Practice (name or brief description):	Secure Acquisition and Storage of Assessment Materials
Strategy/Policy includes Equalities Statement of Inclusiveness? Yes	
Reason for Equality Impact Asessment (choose from the following options):	
• Proposed new policy/practice • Proposed change to an existing policy/practice • Undertaking a review of an existing policy/practice • Other (please give detail):	• Undertaking a review of an existing policy/practice
Person responsible for the policy area or practice:	
Name: Job title:	Beth Brownlee HOS: Quality, Student Support and Learning Resources
An Equality Impact Assessment must be carried out if the policy/practice: • affects **operational** or **strategic functions** of the College • is relevant to the promotion of equality (in terms of the Public Sector Equality Duty 'needs' as set out in the Policy and Guidance)	

Will the policy/practice create any barriers for any other groups?	No
If yes, how will the policy/practice be changed to contribute to advancing equality of opportunity	
Which equality groups or communities have been consulted in the development and review of this policy/practice?	None

Equality Impact Assessment Outcome	
Select one of the four options below to indicate how the development/review of the policy/practice will be progressed and state the rationale for the decision. (Delete the options that do not apply):	
Option 1: No change required – the assessment is that the policy/practice is/will be robust.	No change required – the assessment is that the policy/practice is/will be robust.
Monitoring	
When will the policy/practice next be reviewed?	August 2023, unless further amendment is driven by changes in external requirements
Publication of EIA	
Can this EIA be published in full, now? Please state Yes or No If No – please specify when it may be published or indicate restrictions that apply:	Yes
Sign-off	
EIA undertaken by Name: Date:	Quality Officer Shelagh Fraser 18-8-2020

Accepted by person responsible for the policy/practice named above: Name: Date: Approved by Equalities Committee Date:	Beth Brownlee 18-8-2020

Retain a copy of this form for your own records and send a copy to lbyrne@west-lothian.ac.uk