



# Procedures on the retention, release, and disposal of records related to student assessment within the University of Otago Medical School

## Purpose

This document addresses the need to define a clear set of procedures, and to collate the information contained within University policies and regulations, around the retention, release and disposal of records produced as a result of the student assessment process within the Medical School.

These procedures apply only to those assessment that are used to inform progress decisions, and includes both module-based and common end of year assessments.

## Organisational scope

This document is intended to guide staff within the Medical School.

## Content

### Introduction

These procedures are guided by the underlying principle that any record that has been created in whole or in part by any student is the property of that student. Under normal circumstances the student shall be allowed to access that record within certain timelines with the additional possibility of the student retaining a copy of that record.

These procedures outline the **minimum** period that student assessment records must be retained by the Medical School. It is acknowledged that some staff may find it administratively useful to retain these records for longer.

Conveners should ensure students are informed of the procedures around accessing their assessment records.

### Definitions

#### ***Disposal of assessment records***

Any disposal of assessment records ought to be irreversible and complete to prevent the information being recovered again and to ensure that there is no risk of accidental or unauthorised access to the records. Where possible records should be destroyed in an environmentally- friendly manner.

Assessment records should always be disposed of with the same level of security that was applied during their lifetime. Security during the disposal process can include the use of securely locked document destruction bins and a contractor who transports the records in a totally enclosed and locked vehicle. It may also be appropriate for particularly sensitive records to have an extra level of security applied to them at the disposal stage such as in-house shredding before being collected by a contractor for destruction.

Because proof of destruction may be required during the course of an investigation, or in response to an information access request, or as part of a recordkeeping audit, the destruction of all records must be documented.

#### ***Assessment records***

For ease of implementation this document separates records related to student assessment into the following categories:

#### ***Student-generated work***

Those records that have been written by students and/or students have participated in, such as

- Examination scripts
- Assignments and essays
- Case documentations
- MCQ completed answers
- Video and audio recordings
- Log books

### ***Student Progress Records***

Those records used to document, summarise, or track student progress, such as

- Professional Attitudes And Summary of Achievement Forms (PASAFs)
- Summary of Achievement forms (SoAs)
- Student progress deliberations – outcomes and decisions
- Examiner reports
- Records documenting decisions involving issues, interactions, and advice given to students
- Intra-module spreadsheets and mark books

### ***Examiner notes and annotations***

Those records that document student achievement during the course of an examination or on a piece of assessment and are intended for use by the examiner only to help them arrive at an assessment decision. These notes are usually brief and in point form, but may also include video recordings of OSCE examinations. An example would be completed OSCE marking sheets containing notes or annotations on a particular student.

### ***Marking templates and grading sheets***

Those records that highlight the key points to be demonstrated by students and those working documents that record the grading of individual assessment components of a subject or course, for example

- For multiple Choice/short answer/essay questions, this refers to the answer guide
- Presentation marking schedule

### ***Appeals related to student assessment***

Records of appeals relating to grades and assessment (excluding recounts).

## **Procedures**

### ***Student-generated work***

#### **1. Examination scripts**

Retention Period: Should be retained for 12 weeks after notification of result or end of year decision (in the case of unsatisfactory progress), whichever is applicable.

Release Conditions: Students may request to view their examination script from the start of week 1 to the end of week 12 from the date of the release of confirmed results. Students should contact the MB ChB Assessment Manager to arrange a time to view their script.

Within the period of the start of week 7 to the end of week 12 following the official release of confirmed final results, a candidate may, after completing an application form available from the University Information Centre, collect the original of their examination script from the MB ChB Assessment Manager. In cases where an examination script is collected by a candidate, no consideration will be given to any subsequent issue arising from the marking of that script, nor the addition or compilation of the marks.

Alternatively, an ELM candidate may arrange through the ELM Director, or an ALM candidate through the Head of the appropriate Department, to see their examination script for a particular examination in the presence of a member of staff within 12 weeks from the date of the official release of confirmed final results for the teaching period concerned.

An ALM candidate who cannot reasonably visit a Medical School campus in order to view an examination script at the Department concerned may request a photocopy of the script by writing to the MB ChB Assessment Manager within 12 weeks from the date of the official release of confirmed final results for the teaching period concerned.

Disposal Action: May be disposed of 12 weeks after notification of result or end of year decision, whichever is applicable.

## 2. MCQ completed answers

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|---------------------|---|
| Retention Period:   | Should be retained for 12 weeks after notification of result or end of year decision (in the case of unsatisfactory progress), whichever is applicable.   |
| Release Conditions: | Some examination answers involving problem solving and multiple choice questions will not be returned to candidates, but may be seen within the Department concerned by arrangement only if the examiner has determined that student access will not compromise the long-term effectiveness of those questions in future assessments. |
| Disposal Action:    | May be disposed of 12 weeks after notification of result or end of year decision, whichever is applicable.  |

## 3. Other types

|                     |   |
|---------------------|---|
| Retention Period:   | Should be retained for 12 weeks after notification of result or end of year decision (in the case of unsatisfactory progress), whichever is applicable. |
| Release Conditions: | These assessments remain the student's own intellectual property and should already be in the possession of the student.                                |
| Disposal Action:    | May be disposed of 12 weeks after notification of result or end of year decision, whichever is applicable.  |

### ***Student Progress Records***

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|---------------------|--|
| Retention Period:   | 7 years  |
| Release Conditions: | Students can view their progress records by contacting their Associate Dean of Student Affairs (ADSA). |
| Disposal Action:    | May be disposed of 7 years after date of last action.  |

### ***Examiner notes and annotations***

|                     |   |
|---------------------|---|
| Retention Period:   | Should be retained for 12 weeks after notification of result or end of year decision (in the case of unsatisfactory progress), whichever is applicable. |
| Release Conditions: | No access is routinely granted to students, but these records may be required to be produced as part of an appeal process relating to grades.           |
| Disposal Action:    | May be disposed of 12 weeks after notification of result or end of year decision, whichever is applicable.  |

### ***Marking templates and grading sheets***

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|---------------------|--|
| Retention Period:   | Should be retained for 12 weeks after notification of result or end of year decision (in the case of unsatisfactory progress), whichever is applicable.  |
| Release Conditions: | Students will be allowed access to marking templates only if the examiner has determined that student access will not compromise the long term effectiveness of those questions in future assessments. Access will be either by students receiving a copy or viewing the template in a sequestered manner by contacting the ELM Director or the ALM Department responsible for the assessment. These records do not include actual documentation of student performance on the assessment. |
| Disposal Action:    | May be disposed of 12 weeks after notification of result or end of year decision, whichever is applicable.   |

### ***Appeals related to student assessment***

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|---------------------|--|
| Retention Period:   | Should be retained for 2 years after last action.  |
| Release Conditions: | Not applicable, unless under an Official Information Act (OIA) request. In that case the request must be referred to the University Privacy Officer. |
| Disposal Action:    | May be disposed of 2 years after date of last action.  |

This procedure can be found on the University of Otago Medical School website.  
*Approved by MASC, March 2019; for review 2022*