

Record keeping

This handout will cover:

- Reasons for record keeping
- Examples of records
- Data Protection
- Confidentiality
- Freedom of Information Act (2000)
- Assessment records
- Examples of assessment records
- Reading list
- Website list

Reasons for record keeping

These include internal and external reasons. Internal can be those required for health and safety reasons, accounting reasons and information gathering purposes. External can be those required by organisations such as Ofsted, Ofqual and awarding organisations. These can be for auditing, financial, and for tracking the progress and achievement of all learners. All relevant external organisations should be aware of the systems for record-keeping as they may need to approve certain records or storage methods beforehand.

Most records can be kept manually or electronically, usually for three years. Records, data, information and statistics can help inform organisational policies such as:

- Assessment
- Equality and Diversity
- Health & Safety
- Quality Assurance
- Teaching and Learning

Information can help measure and track attendance, achievement, learning, progress, retention, destinations, accidents, appeals and audits.

Examples of records

These can include:

- Application forms and interview records
- Assessment progress and achievement records
- Complaints and appeals

- Individual learning plan/action plan
- Minutes of meetings
- Quality assurance records
- Register/record of attendance
- Scheme of work
- Session plan
- Tutorial reviews

Data Protection

Data should always be maintained in a way which adheres to relevant legislation. The General Data Protection Regulation (GDPR) from May 2018 supersedes the Data Protection Act of 1998.

Legislation is mandatory for all organisations that hold or process personal data.

Data should always be:

1. processed fairly and lawfully
2. obtained and used only for specified and lawful purposes
3. adequate, relevant and not excessive
4. accurate and, where necessary, kept up to date
5. kept for no longer than necessary
6. processed in accordance with the individual's rights
7. kept secure
8. transferred only to countries that offer adequate protection

Backing up data and records is important, particularly electronically in case of power failures.

Confidentiality

Confidentiality should be maintained regarding all information and data kept in an organisation i.e. by not leaving them in view of learners. However, there are times when information should be shared, for example, attendance, behaviour patterns, progress and achievement could be shared with other teachers who have an involvement with a particular learner. If a learner has a particular need, for example, they have dyslexia, this information should also be passed on to help support them elsewhere.

Freedom of Information Act (2000)

This Act gives people the opportunity to request to see any information which public authorities hold about them

Assessment records

Assessment records must be maintained to satisfy your organisation's internal quality assurance systems, and external regulators such as Ofsted, along with any awarding organisation's requirements. Assessment records must show an audit trail of your learners' progress from commencement to completion, and are usually kept at your organisation for three years. If a learner loses their work, without any assessment records you have nothing to show what was assessed.

If you are teaching a programme which does not lead to a formal qualification, i.e. non-accredited, you will still need to record learner progress. This is known as recognising and recording progress and achievement (RARPA).

Records must be up to date, accurate, factual and legible whether they are stored manually or electronically. If you are saving to a computer, always ensure you have a backup copy in case any data is lost. Keeping full and accurate factual records is also necessary in case a learner appeals against an assessment decision or a dispute occurs.

Examples of assessment records

- Initial and diagnostic results
- Assessment plans
- Observation checklists
- Questioning records
- Decision and feedback records
- Formative and summative results
- Tracking sheets

Reading list

Gravells A (2017) *Principles and Practices of Teaching and Training* London Learning Matters SAGE

Gravells A (2016) *Principles and Practices of Assessment* London Learning Matters SAGE

Gravells A (2014) *The Award in Education and Training (revised)* London Learning Matters SAGE

Gravells A (2013) *Passing Assessments for the Award in Education and Training* London Learning Matters SAGE

Ollin R & Tucker J (2016) *The Vocational Assessor Handbook* (6th Edn) London Kogan Page

Read H (2016) *The Best Assessor's Guide* Bideford Read On Publications Ltd

Wilson (2012) *Practical Teaching: A Guide to Assessment and Quality Assurance* Hampshire Cengage Learning

Website list

Assessment in education - <http://www.tandfonline.com/toc/caie20/24/1>

Freedom of Information Act - www.opsi.gov.uk/Acts/acts2000/ukpga_20000036_en_1

General Data Protection Regulation - <https://www.itgovernance.co.uk/data-protection-dpa-and-eu-data-protection-regulation>

RARPA - <http://www.learningandwork.org.uk/wp-content/uploads/2017/04/RARPA-Guidance-2017.pdf>