

**QA 6.9 CETB SECURITY OF
ASSESSMENT MATERIAL, EVIDENCE AND
RECORDS PROCEDURE**



PURPOSE OF PROCEDURE

The purpose of this procedure is to outline how assessment material, learner evidence and records of assessment will be securely stored in order to ensure fair and consistent assessment of learners.

SCOPE OF PROCEDURE

This procedure applies to all further education and training provision provided by Cork ETB colleges and centres or by organisation funded by Cork ETB to provide further education and training, whether accredited or unaccredited.

RESPONSIBILITIES

The Centre Manager must:

- Ensure that staff are compliant with Cork ETB assessment procedures, which reflects the requirements of the awarding body
- Ensure that the assessment storage facility is secure
- Determine who has authorised access to assessment material and when it can be accessed
- Puts in place a tracking and storage system which ensures that the location of assessment materials and evidence is known
- Manages the secure storage of assessment evidence and materials

The Programme Co-ordinator must ensure that the:

- Assessors understand and are compliant with Cork ETB's assessment procedures
- Assessors are made aware of their responsibilities in relation to the secure storage of both assessment material and learner assessment evidence
- Learners are made aware of their responsibilities for their assessment evidence and submission process for same

The Assessor is responsible for:

- The understanding of and compliance with the assessment procedures of the provider, which reflects the requirements of the awarding body
- PRE ASSESSMENT:
 - Secure storage and transportation of assessment material (related to programme delivery).
 - Ensuring due care in the secure storage (e.g. USB storage), printing and photocopying of assessment briefs and examination papers (where applicable) so that assessment integrity is not compromised

- Compliance with Cork ETB’s arrangements for receipting of learner evidence
- POST ASSESSMENT:
 - Compliance with arrangements for the retention and secure storage of assessment materials and learner assessment evidence (see relevant definitions below)
 - Compliance with provider arrangements on timely return or secure disposal of assessment evidence following certification

The learner is responsible for the:

- submission of assessment evidence in accordance with the assessment deadlines
- retention of any receipting evidence in line with Centre policies and procedures
- management of and the security and integrity of their own assessment work in advance of submission. At Levels 1-3, support will be provided by the assessor.
- Retention of backup copies of assessment evidence. In the case of original artefacts, it is advisable to ensure photographs are taken as backups are not possible.

It is recommended that learners should keep copies of all work submitted, where appropriate.

PROCEDURE DETAILS

6.9.1 SECURE STORAGE OF ASSESSMENT MATERIAL

Assessment Material refers to any documentation associated with the planning of an assessment (pre-assessment).

Examples of assessment material include (but are not limited to):

- Assessment briefs¹
- Examination papers
- Solutions/marking schemes/model answers
- Practical/Skills Demonstration instructions
- Assessment related documentation (attendance records, invigilator’s report etc.)

¹ This assessment brief is the set of clear instructions given to the learner outlining the requirements and assessment/performance criteria of each piece of assessment.

PRE-ASSESSMENT: Assessors material such as, assessment plan, assessment briefs, examination papers, solutions, marking schemes and model answers (excluding learners assessment evidence) are stored securely by the assessor or a designated member of staff for each programme module being taught in advance of the assessment/examination date. Additionally, relevant documentation (invigilator report, attendance/sign in register etc), other relevant examination material and the correct number of examination papers are stored securely, with authorised access only.

POST-ASSESSMENT: On completion of any assessment during the programme or all learner assessment evidence together with relevant assessment documentation must be stored securely. Any breaches to the integrity of assessment evidence (e.g. loss/damage etc.) should be disclosed to the Centre Manager immediately.

Duration of storage of assessment material

All assessment material (including application forms, learner contracts, exam sign-in sheets, course evaluations, etc.) will be retained until after the appeals and repeats process concludes unless stated otherwise by the awarding body or due to a funding requirement, after which it will be disposed of securely (e.g. shredded/deleted from the relevant drive) by the Centre. All records retained must be retained in line with current legislation and GDPR (General Data Protection Regulation).

6.9.2 LEARNER ASSESSMENT EVIDENCE

Learner Assessment Evidence refers to any assessment evidence, created by the learner, which forms part of a module or programme assessment.

Examples of learner assessment evidence include (but are not limited to):

- Learner examination scripts
- Hard/soft copy of assessment evidence
- Artefacts

Learner assessment evidence is the personal data of the learner. Storage arrangements for both hard and soft copy evidence must have regard to Cork ETB's Data Protection Policy and Procedures. Learners have a right of access to their personal data. Right of access to assessment evidence is in addition to an appeal of an assessment result or assessment process. Learners do not have a right to correct errors in their assessment answers. However, they do have the right to have processing errors corrected.

Learner assessment evidence: hard copy and practical/artefact

In order to ensure best practice exists, providers **must provide a secure room or secure locked facilities, with authorised access**, to facilitate the storage of all hard copy learner assessment evidence over the course of the programme and until after all assessment QA procedures have been carried out.

Assessors must comply with Cork ETB's Data Protection Policy and Procedures while they are in possession of assessment evidence.

Learner assessment evidence: Soft copy

In order to ensure best practice exists, centres **are expected to provide storage for learner assessment evidence on a computer network or online platform (with backup capacity)** which is accessible to the Programme Co-ordinator and assessors. The learner assessment evidence is then made available for the Internal Verifier and the External Authenticator. Appropriate security should be in place for networks and online platforms and login details made available for the IV and EA with live/active accounts. Instructions on how to access said accounts may also need to be provided for IV and EA. Assessment evidence stored on mobile devices must comply with Cork ETB's Data Protection Policy on Use of Mobile Devices.

Marking and grading

In order to ensure best practice exists, where possible, space should be made available for Assessors to mark and grade assessment evidence in a secure location within the Centre. The assessor is responsible for assessment evidence throughout the programme until it is submitted for internal verification. .

Internal Verification/External Authentication

When submitting assessment material for the Internal Verification process, the Centre Manager or Programme Coordinator must ensure that learner assessment evidence is tracked using the centre's tracking process (evidence of the signing in and out of assessment evidence).

During the Internal Verification process, all assessors must adhere to the tracking system so that learner assessment evidence is stored securely at all times.

On completion of the Internal Verification, learner assessment evidence is moved into the allocated rooms / storage facilities with authorised access for relevant programme in order for external authentication to take place.

During the External Authentication process, only authorised staff should have access to the allocated rooms / storage facilities.

On completion of External Authentication, learner assessment material should be moved to the appropriate secure storage space using the centre's tracking process, to facilitate ease of access in the event of learner appeals.

On completion of the appeals and repeats processes and when results can no longer be challenged it is advised that all assessment evidence be safely

destroyed² unless otherwise agreed between the learner, the provider, and the internal assessor.

Duration of storage of learner evidence

All learner evidence will be retained until after the deadline for appeals or repeat applications (unless stated otherwise by the relevant awarding body) after which it will be disposed of securely (e.g. shredded/deleted from the relevant drive) by the Centre or returned to learner (if Centre policy). For learners who wish to appeal their results or repeat an assessment the original learner evidence must be retained until these processes are complete. All learner evidence must be retained in line with current legislation and GDPR (General Data Protection Regulation).

6.9.3 ASSESSMENT RECORDS

This refers to any documentation which demonstrates evidence that the assessment has taken place (post-assessment).

Examples of assessment records include (but are not limited to):

- Completed attendance sheets
- Completed Invigilator report
- Tutor verification
- Photo/audio evidence
- Signed assessment submission documentation
- Internal Verification reports
- External Authentication reports
- Appeals documentation (application forms, appeals outcomes, etc.)

Centres must ensure that assessment records are stored securely, with authorised access only.

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² Case C-434/16 *Nowak v Data Protection Commissioner* [2017] ECLI:EU:C:2017:582 Opinion of AG Kokott, para 65

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