

Secure Storage of Assessment Materials, Records and Learner Assessment Evidence



Provider Name:	Tipperary ETB
Policy Area:	Assessment of Learners
Purpose:	The purpose of this procedure is to detail how Tipperary ETB will ensure the secure storage of assessment materials, records and learner assessment evidence for certification
Scope:	This procedure applies to further education and training programmes leading to QQI awards. For non-QQI awards, refer to the relevant awarding body's procedure
ETB Staff Responsible¹:	QA Office Staff, Centre Manager, Programme Coordinator, Learning Practitioner, Assessor, Invigilator, Internal Verifier
Others Involved:	Learner, External Authenticator, Appeals Examiner
Other Procedures to be Cross-referenced:	Examinations: planning, conducting and concluding, Internal Verification, Results Approval Process, Learner Appeals, Tipperary ETB Data Protection procedures

Process: Methods used to carry out the procedure		Who is responsible?	Examples of evidence generated
SECTION 1: SECURE STORAGE FACILITY			
1.1	Ensure that the assessment storage facility is clearly identified and secure with authorised access only. (Note: Facility for the purpose of this procedure is taken to mean a place, amenity, or piece of equipment).	Centre Manager/ Programme Coordinator	Secure storage facility with authorised access Password protected/encrypted devices and networks with authorised access only
1.2	Identify personnel with access to secure storage facilities. Use only Tipperary ETB approved networks and devices for secure storage of learner assessment evidence. Personal devices should not be used for the recording assessment evidence.	Centre Manager/ Programme Coordinator	Record of authorised personnel Use of Tipperary ETB approved

¹ These roles are defined in Tipperary ETB's document entitled [Glossary of Standard Language for QA Policies and Procedures](#)

			networks/ devices
1.3	<p>Record any assessment materials, assessment records and learner assessment evidence entering or exiting the FET Centre and the assessment location (note: the assessment location could be off site).</p> <p>For part-time programmes, this applies for the period from the time it is submitted for internal verification (IV). Prior to IV tutors must take due reasonable care during the period of delivery.</p>	Centre Manager/ Programme Coordinator	Sign-in/sign- out log Online log
1.4	<p>Ensure that a storage system is in place so that the location and possession is known. This is particularly important during transportation of the above.</p> <p>Due reasonable care of assessment materials, records and learner evidence is to be taken during the period of delivery where movement occurs.</p>	Centre Manager/ Programme Coordinator/ Learning Practitioner/ Assessor	Password protected files, registered post, private print for photocopying, completed sign-in/sign- out log etc
1.5	<p>Report any breaches of security of assessment material, assessment records and learner assessment evidence (eg loss/theft/damage etc) immediately to the Centre Manager/ Programme Coordinator and any other relevant staff.</p> <p>Report the breach to any other relevant FET staff eg QA Office, Data Protection Office etc within the appropriate timeframes of that office's relevant procedures.</p>	All centre-level staff Centre Manager/ Programme Coordinator	Written notifications etc
SECTION 2: SECURE STORAGE OF ASSESSMENT MATERIAL (PRE-ASSESSMENT STAGE)			
2.1	<p>Collate and distribute securely all assessment materials (eg assessment briefs, examination papers, solutions, marking schemes and outline solutions) within the FET Centre.</p> <p><u>For assessment material to be distributed outside the FET Centre:</u></p> <ul style="list-style-type: none"> – ensure that all assessment materials are delivered to the learning practitioner in a secure way. 	Centre Manager/ Programme Coordinator/ Learning Practitioner/ Assessor/ Invigilator & QA Office (Training Services)	Sealed assessment packs, assessment material distributed from Tipperary ETB networks, records of dispatch, records of registered post etc
2.2	<p>Store the assessment material and the assessment-related documentation securely (eg Report of Module Assessment, Assessment Sign-in Sheet, Invigilator Checklist, Learner Instructions for Exams, seating plan, etc) for each module in advance of the assessment date.</p>	Centre Manager/ Programme Coordinator/ Learning Practitioner/ Assessor/ QA Office (Training Services)	Secure storage facility with authorised access only, sign-in/sign- out log, password protected files, use of

			Tipperary ETB approved networks etc
SECTION 3: SUBMISSION OF LEARNER EVIDENCE (ASSESSMENT STAGE)			
3.1	<p>Record receipt of all assessment evidence submitted by learners.</p> <p>Learner assessment evidence includes:</p> <ul style="list-style-type: none"> – Digital evidence – Hard copy material(s) – Practical artefact(s) <p>Ultimately, in all cases, it is the responsibility of the learner to ensure their assessment evidence has been received by the centre.</p>	<p>Learning Practitioner / Assessor / Invigilator/ Centre Manager/ Programme Coordinator</p> <p>Learner</p>	Completed Tipperary ETB Assessment Sign-in Sheet
SECTION 4: SECURE STORAGE OF SUBMITTED LEARNER ASSESSMENT EVIDENCE AND ASSESSMENT RECORDS (POST-ASSESSMENT STAGE)			
4.1	<p>Store securely all learner assessment evidence and the relevant assessment records. Ensure authorised access only.</p> <p>Record all learner evidence stored in the secure storage facility. (See sample form to record receipt of learner evidence on Tipperary ETB's QA SharePoint space).</p>	<p>Centre Manager/ Programme Coordinator/ Learning Practitioner/ Assessor/ QA Office (Training Services)</p>	<p>Secure storage facility with authorised access only</p> <p>Secure storage facilities for online networks and servers</p> <p>Centre Record of Receipt of Learner Assessment Evidence</p>
4.2	<p><u>Marking and grading</u></p> <p>Due reasonable care must be taken for the security of the assessment material, assessment records and learner evidence by assessors during the marking process.</p>	Assessor	Sign-in/sign-out log
4.3	<p><u>Internal verification/external authentication and Appeals Process</u></p> <ul style="list-style-type: none"> – Provide a secure area of work for internal verification and external authentication <p>Where external authentication and appeals work take place remotely, it is the responsibility of the External</p>	<p>Centre Manager/ Programme Coordinator</p> <p>External Authenticator/ Appeals Examiner</p>	Sign-in/sign-out log

	<p>Authenticator and the Appeals Examiner to ensure this</p> <ul style="list-style-type: none"> – Removal of the required assessment material, evidence and records from the secured storage facility should be conducted by an authorised person. Present the material to the authentication/appeals processes. For appeals submit to the Tipperary ETB QA Office – Record the removed assessment material, evidence and records – Return the authenticated/appealed assessment evidence and records to the secure storage facility or other authorised person – Record the return of the assessment evidence and records to the secure storage facility – Retain a record of any assessment evidence and records that have been posted or couriered 	Centre Manager/ Programme Coordinator/ Learning Practitioner/ Assessor/ QA Office (Training Services)	<p>Sign-in/sign-out log</p> <p>Record of appeals entered on Tipperary ETB's Appeals Database</p> <p>Record of dispatch</p> <p>Record of registered post</p>
SECTION 5: RETENTION AND DISPOSAL OF ASSESSMENT MATERIAL AND EVIDENCE			
5.1	<p>Retention is as follows:</p> <ul style="list-style-type: none"> – <u>Learner assessment evidence</u> - is retained until after the learner appeals (of results) process is concluded (unless stated otherwise by the relevant awarding body) after which it will be disposed of securely or returned to learner. Refer to non-QQI awarding bodies' procedures for relevant retention periods. – <u>Assessment records</u> – are retained for quality assurance purposes in line with Tipperary ETB's Records Retention Schedule and/or requirements of awarding and funding bodies. 	Centre Manager/ Programme Coordinator/ QA Office/ QA Office (Training Services)	<p>Sign-in/sign-out log</p> <p>Completed assessment records</p>
5.2	<p><u>Disposal</u></p> <p>Retain a record of the assessment evidence disposal. See a sample of a disposal tracking form in Tipperary ETB's QA SharePoint space.</p>	Centre Manager/ Programme Coordinator/ QA Office/ QA Office (Training Services)	Centre Record of Disposal of Learner Evidence
SECTION 6: INFORMATION TO LEARNERS AND STAFF			
6.1	Learners are made aware of their responsibilities of their assessment evidence and the processes regarding submission, storage and disposal.	Centre Manager/ Programme Coordinator/ Learning Practitioner/ Assessor	Tipperary ETB's Learner Information Guide/ Learner Handbook /programme Information

			Signed Learner Induction Checklist
6.2	Learning Practitioners must be made aware of their responsibilities at induction in relation to the secure storage of both assessment materials and learner assessment evidence and related assessment records. These responsibilities may be listed in a code of best practice for Secure Storage of Assessment Materials, Records and Learner Evidence. A sample Code of Practice is provided in Appendix 2.	Centre Manager/ Programme Coordinator	Completed tutor induction Signed Code of Best Practice for Secure Storage of Assessment

Internal Self-Monitoring System

Method(s) used to carry out the monitoring	Who does it?	Frequency
Respond to feedback from stakeholders and update procedure accordingly	QA Office and Steering Group	As required in response to matters arising
Formally review procedure	Senior management with QA Office and Steering Group	Every 3 years, or as appropriate

APPENDIX 1: DEFINITIONS

ASSESSMENT MATERIALS

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

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

- Assessment briefs
- Practical/skills demonstration instructions
- Examination papers and outline solutions
- Marking schemes
- Assessment-related documentation (attendance records, room layout/seating plan, Report of Module Assessment, invigilator's report etc.)

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 Assessment Sign-in Sheet or attendance sheets
- Completed or Report of Module Assessment or invigilator report
- Completed seating plan/room layout
- Tutor verification
- Photo/audio evidence
- Signed assessment submission documentation
- Internal verification reports
- External authentication reports
- Appeals documentation eg learner appeal application forms, appeals outcomes reports, etc
- Transcripts of learner results and award certificates

LEARNER ASSESSMENT EVIDENCE

This 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 copy evidence/answers
- Soft copy evidence/answers
- Practical artefacts

APPENDIX 2: CODE OF PRACTICE FOR STAFF FOR SECURE STORAGE OF ASSESSMENT MATERIALS, RECORDS AND LEARNER EVIDENCE

Note: the definitions of assessment materials, records and learner evidence are noted in Appendix 1 of the procedure

In relation all stages of assessment (pre-assessment, assessment submission and post-assessment), I am responsible for the:

- due care in the secure storage (eg USB storage, printing and photocopying of assessment briefs and exam papers, where applicable) so that assessment integrity is not compromised.
- compliance with centre arrangements for receipting of learner evidence.
- compliance with centre arrangements for storing learner evidence.
- assessment material (ie assessment plan, assessment briefs, examination papers, solutions, marking schemes and model answers) being stored securely in advance of the assessment date.
- relevant documentation (invigilator report, seating plan, attendance/sign in register etc), other relevant examination material and the correct number of examination papers being stored securely.
- compliance with centre arrangements on retention and timely return of assessment materials, records and learner evidence to the FET centre.
- reporting of any breaches of secure assessment to the FET Centre Manager

I am aware that my FET Centre has measures in place in relation to the security of assessment evidence.

I am aware of the provision of a secure room or secure locked facilities, with authorised access only, that facilitates the storage of all learner assessment evidence.

I am aware that as learner assessment evidence is the personal data of the learner, due reasonable care must be taken with both hard and soft copy evidence.

In the event of any breaches to the integrity of assessment evidence (eg loss/theft/damage etc.) information, I must disclose this to my Centre Manager/ Principal / Programme Manager / Programme Coordinator immediately.

I will comply with Tipperary ETB's Data Protection policy and procedures while the assessment evidence is in possession.

I am aware of the secure storage for learner assessment evidence on a computer network or online platform (with backup capacity) for soft copy.

I am aware that no personal devices may be used for the recording or storing of assessment evidence.

I confirm that I am aware of my responsibility in relation to the secure storage of assessment materials, records and learner assessment evidence outlined above and that I am familiar with Tipperary ETB's procedure on same.

Signed: _____

Date: _____

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Summary of Changes					