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Oiliúna Chorcaí

*Cork Education and
Training Board*

QUALITY ASSURANCE

QA 6.9 CORK ETB SECURITY OF ASSESSMENT MATERIAL, EVIDENCE AND RECORDS PROCEDURE

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PURPOSE

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

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

RESPONSIBILITIES

The **principal/campus/centre manager** is responsible for:

- ensuring that staff are compliant with Cork ETB assessment procedures, which reflects the requirements of the awarding body
- ensuring secure storage of hard copy and digital assessment material, evidence, and records
- determining who has authorised access to assessment material and when it can be accessed
- ensuring a tracking and storage system is in place which indicates the location of assessment materials and evidence
- managing the secure storage and disposal of assessment evidence and materials

The **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 Cork ETB, which reflects the requirements of the awarding body

Assessor responsibilities pre-assessment:

- secure storage and transportation of assessment material (related to programme delivery)
- ensuring due care in the secure storage, printing and photocopying of assessment briefs and examination papers (where applicable) so that assessment integrity is not compromised
- when storing assessment material digitally, the assessor should use secure, password protected storage on the hard drive of computer or using a cloud based secure storage system e.g. OneDrive or Moodle
- compliance with Cork ETB's arrangements for receipting of learner evidence as outlined in [QA 6.4 Implementation of Assessment Activities](#)

Assessor responsibilities 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/deletion of assessment evidence following certification

The **learner** is responsible for the:

- submission of assessment evidence in accordance with the assessment deadlines

- secure and confidential retention of username and password for Moodle if utilising for submission of assessment evidence
- retention of any receipting evidence in line with centre policies and procedures
- management of the security and integrity of their own assessment work in advance of submission. 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

PROCEDURE

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 ([QA 6.3.2a](#))
- examination papers ([QA 6.3.4a](#))
- solutions/marketing schemes/model answers ([QA 6.3.5a](#))
- practical/skills demonstration instructions
- assessment submission sheet ([QA 6.4.2a](#))
- assessment attendance sheet ([QA 6.4.3a](#))

Pre-assessment:

- Assessors' material such as, assessment plan, assessment briefs, examination papers, videos, outline solutions, marking schemes are stored securely by the assessor or a designated member of staff for each

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

programme/module being taught in advance of the assessment/examination date

- All relevant documentation and the correct number of examination papers must be stored securely, with authorised access only
- Assessment material can be stored digitally or in hard copy. If stored digitally this should be on a secure system, with password protection enabled, and labelled correctly

Post-assessment:

- On completion of any assessment during the programme 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 principal/campus/centre manager immediately

Duration of storage of assessment material:

- All assessment material (including application forms, learner contracts, examination sign-in sheets, 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 the conclusion of the appeals process all assessment material will be disposed of securely (e.g. shredded/deleted from the relevant drive/virtual learning environment) by the campus/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 copy/ digital copy of assessment evidence
- artefacts

Learner assessment evidence is the personal data of the learner. Storage arrangements for both hard copy and digital 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 quality assurance 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:

- In order to ensure compliance with Cork ETB's Data Protection Policy and Procedures centres must provide secure storage for hard copy and digital learner assessment evidence
- Digital assessment evidence must be stored on the centre computer network or secure online platform (with backup capacity)
- Learner evidence must not be retained on personal devices or portable data storage devices e.g. USB
- Learner assessment evidence must be accessible to the co-ordinator and assessors, internal verifiers, and external authenticators

- 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

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 principal/campus/centre manager must ensure that learner assessment evidence is tracked using the centre's tracking process
- This may include evidence of the signing in and out of hard copy assessment evidence and the signposting of where electronic evidence is located on Moodle, shared drives etc.
- During the internal verification process, all assessors must adhere to the tracking system so that learner assessment evidence is readily accessible and stored securely at all times
- On completion of internal verification, hard copy 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 or to digitally stored material
- On completion of external authentication, hard copy 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
- Digital assessment material should also be retained
- 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/virtual learning environment) by the campus/centre or returned to learner (if campus/centre policy)
- For learners who wish to appeal their results or repeat an assessment the original learner evidence, both digital and hard copy, 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 Assessment Submission Sheet ([QA 6.4.2a](#))
- Completed Assessment Attendance Sheet ([QA6.4.3a](#))
- Completed Internal Assessor QA Checklist ([QA6.4.4a](#))
- Photo/audio/video evidence
- Completed Internal Verification report ([QA6.14a](#))
- Completed External Authentication reports ([QA6.15a](#))
- Appeals documentation ([QA6.18a-6.18e](#))

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

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

DOCUMENT DETAILS

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