

Draft LMETB RAA Secure Storage Policy

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Policy Version Control

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Document Title/Reference	LMETB RAA Secure Storage Procedure
Purpose	The purpose of these guidelines is to assist all parties involved in the delivery of the RAA Apprenticeship programme in the secure storage of all documentation relating to this programme.
Scope	These guidelines apply to all parties involved in the delivery of the RAA programme whether LMETB directly, or contracted trainers.
Contents	
Related Policies	LMETB Assessment procedures
Audience & Communication	Applicable to all staff and apprentices of LMETB. This procedure will be made available on the LMETB website and in the Apprentice Handbooks.
Policy/Procedure Owner & Implementation	The Policy owner is the CE (Chief Executive) of LMETB. It is the QA (Quality Assurance) AMTCE (Advanced Manufacturing Training Centre of Excellence) and Contracted trainers' responsibility to ensure the policy/procedure is implemented.

Monitoring, Evaluation	The AMTCE QA Office shall be responsible for keeping the policy and procedure up to date, for ensuring that only approved versions of the Policy/procedure are accessible via the LMETB website and for periodically reviewing this policy.
Revision History & Commencement Date & Date of Next Review	<p>Commencement Date:</p> <p>Date of next review:</p>

LMETB Assessment Procedures

Glossary of Terms

Appeals Examiner	<p>The Appeals Examiner refers to the individual who examines the apprentice assessment appeal evidence and decides on the appeal.</p> <p>An Appeals Examiner is appointed by the ETB and is a person who MUST be:</p> <ul style="list-style-type: none">■ A subject-matter expert■ External to the original assessment process■ Has no conflict of interest with the apprentice or Learning Practitioner(s)■ External to the provider or to the original assessment process <p>Ideally, the Appeals Examiner should be an External Authenticator</p>
Assessment Appeals Facilitator	<p>The Assessment Appeals Facilitator or designated person refers to the individual who facilitates the apprentice assessment appeal. The Assessment Appeals Facilitator must have a working knowledge of assessment and quality assurance procedures; ensure that no conflict of interest exists; and have had no prior involvement in the assessment processes relating to the piece of assessment.</p>
Provider	<p>The Provider refers to any ETB Training Provider, to AMTCE and to any contracted trainers.</p>
Provider Manager	<p>The Provider Manager refers to the AMTCE Manager. In the event of the absence of a Provider Manager, an appropriate designated person should be assigned.</p>
ETB	<p>Education and Training Board</p>
ETB Manager	<p>The ETB Manager refers to any manager within the ETB; in the provision of the RAA programme, this is the AMTCE Manager or the National Programme Manager.</p>

Independent Appeals Committee	<p>The Independent Appeals Committee refers to the committee which examines the assessment process appeals. The committee is appointed by the ETB and MUST:</p> <ul style="list-style-type: none"> ■ Consists of a minimum of two ETB senior personnel who are external to the Provider ■ Have knowledge of QA procedures <p>The Independent Appeals Committee should be supported by internal QA personnel.</p> <p>Depending on the nature of the appeal, personnel from outside the ETB may be required. This is at the discretion of the ETB.</p>
Invigilator	<p>The Invigilator refers to the individual who supervises an examination.</p> <p>Ideally, an alternative invigilator other than the Instructor/Lecturer/Contracted Trainer should supervise an examination.</p> <p>The Invigilator (appointed by the National Programme Manager must:</p> <ul style="list-style-type: none"> ■ sign a declaration of impartiality ■ be appointed in line with the specific guidelines of the awarding body, if such guidelines exist.
Instructor/Lecturer/Contracted Trainer	This refers to any Instructor/Lecturer/Contracted Trainer delivering the RAA programme
National Programme Manager/Collaborating Programme Leader co-ordinator	This is the RAA National Programme Manager within LMETB AMTCE and the Programme Leader in coordinating ETBs.
RPL Mentor/Facilitator	<p>The RPL Mentor/Facilitator refers to an individual who:</p> <ul style="list-style-type: none"> ■ is familiar with RPL policies ■ has received training in RPL ■ is a subject matter expert

Secure Storage of Assessment Materials, Records and Apprentice Assessment Evidence

Principles of assessment in relation to secure storage of assessment material and apprentice evidence

Quality assured assessment ensures that in criterion referenced assessment “apprentices are assessed and the assessment judgment is made based on whether the apprentice has reached the required national standards of knowledge, skill and competence for the award” (QQI, Revised 2018 p.5).

Central to quality assured assessment is the assumption that apprentices are assessed in a fair and consistent manner in line with the award standard. Quality assured assessment ensures adherence to the principles of assessment.

The following sets forth the principles of assessment which apply to this document: these principles are based on the QQI (Revised 2018) principles for assessment.

Validity

Validity is a fundamental assessment principle ensuring that an assessment measures what it is designed to measure: the relevant standard of knowledge, skill or competence required for an award should be assessed.

Validity in assessment occurs when:

- Assessment is fit for purpose (i.e. a practical assessment assesses a practical skill)
- Apprentices can produce evidence which can be measured against the award standard
- Assessors can make accurate assessment decisions
- Assessment is accessible to all candidates who are potentially able to achieve it

Reliability

Reliability in assessment ensures that assessment measurement is accurate: the knowledge, skills and competence which the assessment measures should produce reliable and accurate results.

Reliability in assessment ensures that results are consistent under similar conditions.

Reliability in assessment occurs when:

- The assessment is based on valid assessment techniques
- Assessment conditions are consistent
- Apprentice evidence is reliable
- Results are consistent across various assessors, contexts, conditions and apprentices over time.

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Fair

Fairness in assessment supports the validity and reliability principles and provides equal opportunity to all apprentices. Fairness in assessment ensures apprentices have access to appropriate resources/equipment in assessment; assessment design and implementation are fair to all apprentices; and policies and procedures exist to ensure fair assessment of apprentices.

Quality

Quality in assessment ensures that all assessment processes are quality assured.

Transparency

Transparency in assessment ensures that assessment policy and procedures provide clarity to all relevant stakeholders.

Assessment is underpinned by the **principles of assessment** including the *fair* principle (equal opportunity for all apprentices) and *consistent* principle (consistency in approach to assessment across ETBs, programmes and modules). As such, in order to ensure the fair and consistent assessment of apprentices, the following procedures should be followed in relation to the secure storage of assessment materials and apprentice assessment evidence. The provider's Quality Assurance System overarches these principles and ensures apprentice achievement is assessed in a fair and consistent way in line with the award standards.

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

Assessment Materials

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 8
- Completed invigilator report
- Completed seating plan
- Tutor verification
- Photo/audio evidence
- Signed assessment submission documentation
- Internal Verification reports
- External Authentication reports
- Appeals documentation (application forms, appeals outcomes, etc.)

Apprentice Assessment Evidence

This refers to any assessment evidence, created by the apprentice, which forms part of a module or programme assessment.

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

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

Security and Storage Roles and Responsibilities

The National Programme Manager must ensure that:

- Staff is compliant with the assessment procedures of the provider, which reflects the requirements of the awarding body
- Assessment storage facility is secure with authorised access only
- A storage system is put in place which ensures that the location of assessment materials and evidence is known
- The secure storage and disposal of assessment evidence and materials is managed effectively.

The National Programme Manager/Collaborating Provider Programme leaders:

- Learning Practitioners understand and are compliant with the assessment procedures of the provider (which reflect the requirements of LMETB's QA requirements to awarding body)
- Learning Practitioners are made aware of their responsibilities in relation to the secure storage of both assessment material and apprentice assessment evidence
- Apprentices are made aware of their responsibilities for their assessment evidence and submission process for same

The Contracted Trainer/ Instructor/Tutor is responsible for:

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- The understanding of and compliance with the assessment procedures of the provider, which reflects the requirements of the awarding body
- PRE-ASSESSMENT:
 - Secure storage 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
 - Compliance with provider arrangements for receipting of apprentice evidence
- POST-ASSESSMENT:
 - Compliance with arrangements for the retention and secure storage of

- assessment materials and apprentice assessment evidence (see relevant definitions)
- Compliance with provider arrangements on timely return or secure disposal of assessment evidence following certification

The Apprentice is responsible for:

- Submission of assessment evidence in accordance with the assessment deadlines
- Retention of any receipting evidence in line with Provider policies and procedures
- Management of and the security and integrity of their own assessment work in advance of submission.
- 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 apprentices should keep copies of all work submitted, where appropriate.

- Staff is compliant with the assessment procedures of the provider, which reflects the requirements of the awarding body
- Assessment storage facility is secure with authorised access only
- A storage system is put in place which ensures that the location of assessment materials and evidence is known
- The secure storage and disposal of assessment evidence and material is managed

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Secure storage of assessment material by staff

PRE-ASSESSMENT: Assessment material (assessment plan, assessment briefs, examination papers, solutions, marking schemes and model answers) are stored securely by the Instructor/Lecturer/Contracted Trainer or a designated member of staff for each programme module being taught in advance of the assessment/examination date. Additionally, relevant documentation (invigilator report, seating plan if required, 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 an examination or supervised assignment all apprentice assessment evidence together with relevant assessment documentation must be stored securely,

with authorised access only. Any breaches to the integrity of assessment evidence (e.g. loss/damage etc.) should be disclosed to the Provider Manager immediately.

Submission of Apprentice Evidence

Each provider should ensure that a protocol exists for Contracted Trainers/Instructors/Tutors to confirm the submission of work by an apprentice to the above; this protocol should be evidence based. For example, once work has been submitted, the apprentice may sign an assessment submission document which is countersigned in the presence of by the Contracted Trainer/ Instructor/Tutor.

- Where apprentice assessment evidence is submitted via email, email receipts should be provided by the Instructor/Lecturer/Contracted Trainer
- Where apprentice assessment evidence is submitted electronically via an online platform which automatically generates a confirmation email (e.g. Turnitin), the Instructor/Lecturer/Contracted Trainer is not responsible for receipting of this apprentice assessment evidence
- Where apprentice assessment evidence is submitted via an online platform which does not automatically generate a confirmation email (e.g. Google docs, cloud etc.), the Instructor/Lecturer/Contracted Trainer is not responsible for receipting of this apprentice evidence. The receipt may be issued electronically (e.g. email).

Records of apprentices' assessment progress are held individually by each Contracted Trainer/Instructor/Tutor. These are securely stored on an appropriate online platform.

Secure storage of apprentice assessment evidence by staff

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Apprentice assessment evidence is **the personal data of the apprentice**. Storage arrangements for both hard and soft copy evidence must have regard to LMETB's Data Protection Policy and Procedures. Apprentices 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 as per LMETB policy. Apprentices do not have a right to correct errors in their assessment answers. However, they do have the right to have processing errors corrected.

Apprentice 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 apprentice assessment evidence over the course of the programme and until after all assessment QA procedures have

been carried out. Instructors/Lecturers/Contracted Trainers must comply with LMETB's Data Protection Policy and Procedures while they are in possession of assessment evidence.

Apprentice assessment evidence: Soft copy

In order to ensure best practice exists, providers are expected to provide storage for apprentice assessment evidence on a computer network or online platform (with backup capacity) which is accessible to the National Programme Manager/Collaborating Programme Leader and Instructors/Lecturers/Contracted Trainers. The apprentice 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 that can be accessed even after the programme has ended. 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 LMETB'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 Instructors/Lecturers/Contracted Trainers to mark and grade assessment evidence in a secure location within the Provider. The Instructors/Lecturers/Contracted Trainers are responsible for assessment evidence.

Internal Verification/External Authentication

On completion of Internal Verification,

In preparation for the Internal Verification process, the National Programme Manager/Collaborating Programme Leaders must ensure that apprentice assessment evidence is documented and stored as per provider guidelines. 12

During the Internal Verification process, all Instructors/Lecturers/Contracted Trainers must adhere to the provider guidelines so that apprentice assessment evidence is stored securely at all times.

On completion of the Internal Verification, apprentice assessment evidence is moved into the allocated rooms / storage facilities with authorised access for the 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, apprentice assessment material should be moved to the appropriate secure storage space using the provider's tracking process, to facilitate ease of access in the event of apprentice appeals.

Duration of Storage

Duration of storage of apprentice evidence

On completion of the appeals process and when results can no longer be challenged all assessment evidence must be returned to the apprentice (if provider practice) or be safely destroyed (shredded or deleted from relevant drive) within 3 months of submission of assessment material unless otherwise agreed between the apprentice, the provider, and the internal assessor and the relevant certification body. All apprentice evidence must be retained for the maximum term in line with current legislation and GDPR (General Data Protection Regulation).

Any work that is being kept as exemplars for future apprentices must be anonymised before being distributed.

Duration of storage of assessment material

All assessment material (including application forms, apprentice contracts, exam sign-in sheets, course evaluations, etc) will be retained until after the appeals process concludes unless stated otherwise by the awarding body or due to a funding requirement (SOLAS programmes), after which it will be disposed of securely (e.g. shredded/deleted from the relevant drive) by the provider. All records retained must be retained in line with current legislation and GDPR (General Data Protection Regulation) and all Instructors/Lecturers/Contracted Trainers must adhere to these requirements. 13

References

QQI (2018 Revised) Quality Assuring Assessment Guidelines for Providers. Ireland: QQI. Available from: [QQI Quality Assuring Assessment Guidelines \(2013, Revised 2018\)](https://www.qqi.ie/quality-assuring-assessment-guidelines-2013-revised-2018)

End of policy

