

Assessment Record Keeping Policy and Procedures

Document Name	Assessment Record Keeping Policy		
Approved by	GM	Date	22/8/2021
Responsible Officer	Academic Manager		
This policy is used by	ECA College (RTO Code 45012; CRICOS Provider Code 02644C)		
Related Documents	Assessment Policy, Course Progression Policy, Complaints and Appeals Policy, Validation and Moderation Policy, Student Handbook		
References and Legislation	Standards for Registered Training Organisations (RTOs) 2015, Part 2 Training and Assessment. Standard 1: Clauses 1.8, 1.13-1.20, 1.26-1.27 National Vocational Education and Training Regulator Act 2011		
Version	Change description	Approved	Effective Date
V24.0	Reviewed in line with ESOS and VET Standards	GM	20/7/2024
V24.1	Reviewed and Logo updated	GM	22/8/2025

1. Purpose

This policy ensures that all assessment records for Vocational Education and Training (VET) courses are accurately maintained, securely stored, and accessible in compliance with the **Standards for RTOs 2015**, the **National Vocational Education and Training Regulator Act 2011**, and relevant data protection and privacy legislation.

The purpose is to:

- Maintain integrity, authenticity, and reliability of student assessment records.
- Provide evidence of compliance during internal and external audits.
- Ensure transparency and accountability in student progress, outcomes, and certification.
- Support students, trainers, and regulators with accurate and accessible information.

2. Scope

This policy applies to all assessment records related to VET courses delivered by ECA Group, including:

- Assessment tools and completed student assessments.
- Assessor marking guides, feedback, and outcome records.
- Moderation and validation documents.
- Assessment outcome records within the Student Management System (SMS) and Learning Management System (LMS).

3. Definitions

Item	Definition
Assessment Records	Evidence of assessment decisions, including completed assessments, observation checklists, assessor feedback, RPL outcomes, and electronic records.
Retention Period	Minimum period for which records must be securely kept as per ASQA and regulatory requirements.
Student Management System (SMS)	The official system used to store assessment outcomes and progression data.
Learning Management System (LMS)	The platform where students submit assessments and receive feedback.
Standards for Registered Training Organisations (RTOs) 2015	Set of national standards which are used to regulate the vocational education and training sector within Australia.
Student	An individual person who is formally enrolled to study at an ECA College. The individual person is that who appears on the College's documents such as enrolment, admission and payment documents, and who is assigned a Unique Student Identifier (USI)
Summative assessment	Used to determine whether the student has satisfied the requirements specified within the learning outcomes/unit of competency. It is used to certify or recognise candidate achievement for the unit of competency
Training Package	A set of nationally endorsed standards and qualifications for recognising and assessing people's skills in a specific industry, industry sector or enterprise. They are developed by national Industry Skills Councils (ISCs).
Training and Assessment Strategies	Outlines the framework that guides the learning, training and assessment requirements
Training Package Assessment Guidelines	re contained within each Training Package and are designed to ensure that assessment is consistent with the Standards for Registered Training Organisations (RTOs) 2015.
Continuous Improvement	Ongoing process to systematically review and improve learning and assessment methods.

4. Policy

4.1 ECA Group ensures all assessment records are maintained in line with the Principles of Assessment and the Rules of Evidence.

4.2 Assessment records are retained for:

- Student Assessment Evidence: 2 years after completion of the unit of competency.
- Completed Assessment Tools & Marking Guides: 2 years after competency decision.
- Student Results (SMS Records): 30 years, in compliance with Standards for RTOs.
- Validation and Moderation Records: 5 years.

4.3 Records are stored securely (both electronic and physical copies) to protect confidentiality, integrity, and availability.

4.4 Only authorised staff (Academic Manager, Trainers/Assessors, Compliance staff) may access assessment records.

4.5 Students may request access to their assessment evidence or results in writing, subject to verification of identity.

4.6 Assessment records are protected against unauthorised access, alteration, or loss, with regular data backups for electronic files.

5. Procedures

• 5.1 Collection of Assessment Records

- Students submit assessments via the LMS or as hard copies (if applicable).
- Trainers/Assessors mark assessments using approved assessment tools and provide feedback.
- Assessment outcomes are recorded in both the LMS and SMS.

5.2 Storage of Records

- Electronic Submissions: Stored in the LMS, backed up weekly, and archived after 2 years.
- Hard Copy Assessments: Stored in locked cabinets with restricted access; scanned copies uploaded to the LMS/SMS.
- Assessment Outcomes: Entered into the SMS within 10 working days of assessment completion.

5.3 Retention of Records

- Evidence of completed assessments (student work, marking guides) kept for 2 years post-decision.
- Results and AQF certification documentation retained electronically for 30 years.
- Validation and moderation records retained for 5 years.

5.4 Access and Retrieval

- Academic staff can retrieve records via LMS/SMS.
- Students can request access by emailing the Academic Manager.
- Regulators/auditors will be granted access upon request.

5.5 Disposal of Records

- After the minimum retention period, records are securely destroyed (shredded for hard copy, permanently deleted from systems for electronic copies).
- Disposal is approved and logged by the Academic Manager.

5.6 Continuous Improvement

- Record keeping processes are reviewed annually during compliance audits.
- Feedback from trainers, students, and auditors is used to improve systems.

6. Responsibilities

- **Academic Manager:** Overall responsibility for policy implementation, monitoring compliance, and authorising disposal of records.
- **Trainers/Assessors:** Ensure assessments are submitted, marked, and uploaded correctly.
- **Compliance Team:** Maintain SMS accuracy, support audits, and monitor retention requirements.

- **IT Department:** Ensure secure storage, backup, and data protection of electronic assessment records.

7. Review and Continuous Improvement

The ECA Group is committed to the ongoing monitoring and enhancement of its assessment record keeping practices to ensure compliance, accuracy, and efficiency. To achieve this, the following strategies are implemented:

- **Scheduled Reviews:** The ECA Group Management Team conducts regular reviews of the Assessment Record Keeping Policy and Procedures to ensure alignment with the Standards for RTOs, regulatory requirements, and best practice data management. Any gaps or risks identified are referred to the General Manager and/or Management Review Committee for consideration and approval.
- **Staff Feedback:** Trainers, Assessors, and Academic Administrators are encouraged to provide feedback on the effectiveness of record keeping processes, including issues related to storage, retrieval, or retention. Concerns or recommendations must be submitted to the relevant Academic Manager, who ensures these are escalated and reviewed at the appropriate level.
- **Audit and Compliance Monitoring:** Internal audits and compliance checks are conducted periodically to verify adherence to retention requirements, data integrity, and security protocols. Findings are used to strengthen procedures and mitigate risks.
- **Continuous Improvement Register:** All identified improvements, corrective actions, and innovations in record keeping systems are documented in the Continuous Improvement Register, monitored by the Compliance Team, and implemented as required.