1. Purpose

To ensure that the RTO assessment procedures meet the requirements of the endorsed training packages and outcomes specified in the accredited courses within RTO's scope of registration. Additionally, the assessment process meets the Principles of Assessment and Rules of Evidence.

2. Compliance

This procedure relates to the following Standards: 1.1-1.4, 1.8-1.12, 1.13-1.24, 1.25

3. Scope

This procedure is designed to ensure an effective assessment system is applied to all learners within the RTO.

Curriculum Development is responsible for ensuring that tools developed meet training package requirements and the principles of assessment and allow for evidence to be collected in line with the Rules of Evidence.

Assessors are responsible for final assessment outcomes.

Quality & Compliance Manager is responsible for development and maintenance of the assessment system; training of staff in this policy and current regulator interpretations; monitoring of outcomes in line with this procedure.

CEO is responsible for performance management of staff who are identified as not conforming to the procedure.

This procedure is designed to be read in conjunction with the

- Training and Assessment Strategy Development Procedure (outlines how training programs are developed)
- Validation Procedure (outlines how the RTO manages validation of assessment decisions)
- Trainer & Assessor Capability & Development Procedure (outlines how the RTO ensures that assessment is undertaken by suitably qualified assessors)
- Learner Support Procedure (outlines how learner needs are identified and assessments can be adapted to meet individual learner requirements)
- Complaints and Appeals Procedure (outlines how learners can challenge assessment decision outcomes)
- Conflict of Interest Procedure (outlines how staff can identify where a potential conflict of interest may affect an assessment decision to ensure validity of the assessment process)

This procedure should be read in conjunction with Chapter 4 of the RTO User Guide and the ASQA Guide for Developing Assessment Tools.

Objectives

The assessment system is designed to ensure that assessment within the organisation:

a) Meets the needs of learners, staff and stakeholders

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b) Provides clear guidelines for staff on assessment practices
c) Meet the principles of assessment and rules of evidence
d) Is undertaken by qualified trainers and assessors
e) Meet obligations to:
 i. Australian Skills Quality Authority (ASQA)
 ii. Australian Qualifications Framework (AQF)
 iii. Training Package Requirements
f) Meet organisational commitments and obligations to access and equity

4. Assessment Model

Assessment involves collecting and interpreting evidence in order to make a decision to determine competency. Competency based assessment is a system of collecting evidence about a person's performance to a pre-set standard. The emphasis is placed on what a person can do (outcome), rather than comparing a person's achievement to others. There is no concept of pass or fail, only competent (C) or not yet competent (NYC) for units of competency. Individual assessment instruments are deemed either satisfactory or not yet satisfactory.

Formal assessment can take place in many different ways and may include:

a) Practical assessment such as demonstrations and observations;
b) Theoretical assessments such as knowledge based tests, written questions, essays, etc;
c) Product based methods such as completed JSAs, position descriptions, projects;
d) Recognition of Prior Learning (See Recognition Policy for more details)

Three levels of assessment:

Diagnostic also known as pre-assessment provides information about prior knowledge and skills. This baseline information may diagnose a problem or training requirement. This assessment type may be utilised prior to enrolment as part of suitability assessments or as part of the recognition process.

Units of competency and clusters for learners who are not eligible or choose not to apply for recognition are assessed through a combination of formative and summative assessment tools within the assessment guide for each unit or cluster.

Formative assessment assists and supports training by monitoring and advising learners of their performance and rate of progress against the training outcomes. This provides feedback to the learner, supervisor and trainer on what development activities are needed to achieve the required competencies. Generally observations, portfolios and projects are used as common formative assessments as these take place over a period of time and in conjunction with training.

Summative is cumulative evaluation of achievement of the Training outcome. Often conducted in the workplace or a simulated workplace (depending on the qualification/unit of competency), summative assessment confirms achievement of the competency requirements have been met for the unit. Some examples of standard summative assessments are demonstrations, knowledge based tests and practical placements.

Principles of Assessment

All assessments are designed and validated to ensure that they meet the Principles of Assessment as outlined below. Assessments are designed with specific instructions and templates to ensure that instructions are as clear as possible for all parties.

Fairness

The individual learner's needs are considered in the assessment process.

Where appropriate, reasonable adjustments are applied by the RTO to take into account the individual learner's needs. *Needs are initially assessed at enrolment but can be identified later in class also by the assessor and/or assessor, refer to Enrolment Procedure.*

The RTO informs the learner about the assessment process and provides the learner with the opportunity to challenge the result of the assessment and be reassessed if necessary. *This is addressed through providing clear instructions in the learner guides.*

For more information see Learner Support Procedure.

Flexibility

Assessment is flexible to the individual learner by:

- reflecting the learner's needs;
- assessing competencies held by the learner no matter how or where they have been acquired; and
- drawing from a range of assessment methods and using those that are appropriate to the context, the unit of competency and associated assessment requirements, and the individual.

For more information see Learner Support Procedure.

Validity

Any assessment decision of the RTO is justified, based on the evidence of performance of the individual learner.

Validity requires:

- assessment against the unit/s of competency and the associated assessment requirements covers the broad range of skills and knowledge that are essential to competent performance;
- assessment of knowledge and skills is integrated with their practical application;
- assessment to be based on evidence that demonstrates that a learner could demonstrate these skills and knowledge in other similar situations; and
- Judgement of competence is based on evidence of learner performance that is aligned to the unit/s of competency and associated assessment requirements.

For more information see the Validation Procedure.

Reliability

Evidence presented for assessment is consistently interpreted and assessment results are comparable irrespective of the assessor conducting the assessment.

Marking guides are available to all assessors to ensure that judgements are consistent and expectations for competency are as clear as possible.

For more information see the Validation Procedure.

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Rules of Evidence

Evidence is collected in line with the rules of evidence.

Validity

The assessor is assured that the learner has the skills, knowledge and attributes as described in the module or unit of competency and associated assessment requirements.

Sufficiency

The assessor is assured that the quality, quantity and relevance of the assessment evidence enable a judgement to be made of a learner's competency.

Mapping tools assist assessors in ensuring that all components of the units of competency are addressed through the assessment guide. Marking guide provide guidance on the quality and quantity of evidence expected. Validation processes confirm assessment decisions have been made correctly.

Authenticity

The assessor is assured that the evidence presented for assessment is the learner's own work.

Observation of skills is undertaken directly by the assessor, written submitted assessments are periodically monitored for plagiarism and validated by competency questions where assessors have doubts about the authenticity or consistency in evidence submissions.

Currency

The assessor is assured that the assessment evidence demonstrates current competency. This requires the assessment evidence to be from the present or the very recent past.

5. Quality and Continuous Improvement

Quality and continuous improvement will be achieved through the development, review and continuous assessment of procedures against Registered Training Organisations best practice assessment systems. For more information see Continuous Improvement Procedure, Industry Engagement Procedure and Validation Procedure.

6. Role of the Assessor

The primary role of the assessor is to assess and judge a learner's skills and knowledge of competence against a set of standards.

The assessor must:

a) Ensure that safety of the personnel involved in the assessment is maintained at all times
b) Interpret and understand the performance criteria and evidence guides
c) Ensure that supplied evidence meets the standards
d) Ensure that the evidence is valid, reliable, authentic, consistent, current and sufficient
e) Make fair and objective judgements

Additionally, assessors are required to provide feedback in the development of assessment tools and validation of assessment outcomes.

Assessor Requirements

In order to initiate assessment of training outcomes, occupational competencies and recognition of prior training, assessors must have:

       a)   Accredited assessment competencies as outlined in Standards 1.13-1.16;

       b)   Relevant vocational competencies at least to the level being assessed;

       c)   Demonstrated current industry skills directly relevant to the assessments being performed;

       d)   Continual development of their Vocational Education Training knowledge and skills as well as their industry currency and assessor competence.

All assessors must be approved by the CEO and Compliance & Quality Manager and have been inducted to the RTO policies and procedures prior to undertaking any assessment on behalf of the RTO.

For more information on this process refer to the assessor & Assessor Capability and Development Procedure.

Assessors are encouraged to abide by the Assessor Code of Conduct outlined below.

Assessors Code of Conduct

Code of practice for assessors

The code of practice detailed below is included in these Assessment Guidelines to support professionally responsible and ethical assessment practice and to guide TAE10 assessors in the responsibilities of their work. This code is loosely based on an international code developed by the US-based National Council for Measurement in Education.

The code reinforces the performance outcomes of assessment units in TAE10 Training and Education Training Package.

We, as assessors, understand and will ensure:

- The differing needs and requirements of the candidates, the local enterprises and/or industry are identified and handled with sensitivity.
- Potential forms of conflict of interest in the assessment process and/or outcomes are identified, and appropriate referrals are made, if necessary.
- All forms of harassment are avoided throughout the assessment process and in the review and reporting of assessment outcomes.
- The rights of candidates are protected during and after the assessment process.
- Candidates are made aware of their rights and processes of appeal.
- Personal or interpersonal factors that are irrelevant to the assessment of competence must not influence the assessment outcomes.
- Evidence is verified against the rules of evidence.
- Assessment decisions are based on available evidence that can be produced and verified by another assessor.
- Assessments are conducted within the boundaries of the assessment system policies and procedures.
- Formal agreement is obtained from candidates and the assessor that the assessment was carried out in accordance with agreed procedures.
- Assessment systems and tools are consistent with equal opportunity legislation.
- Candidates are informed of all assessment reporting processes prior to the assessment Candidates are informed of all known potential consequences of assessment decisions, prior to the assessment.

- Confidentiality is maintained regarding assessment decisions/outcomes and records of individual assessment outcomes which identify personal details and are only released with the written permission of the candidate/s.
- Assessment outcomes are used consistently with the purposes explained to candidates.
- Self-assessments are periodically conducted to ensure current competence against TAE10 Training and Education Training Package competency standards.
- Professional development opportunities are identified and sought.
- Opportunities for networking amongst assessors are created and maintained.
- Opportunities are created for technical assistance in planning, conducting and reviewing assessment practice and participating in validation.

Recording Assessment Outcomes

The RTO is responsible for recording assessment outcomes and for the maintenance and security of records in a permanent and accessible system.

Assessment records are checked by administration prior to outcomes being recorded in the Learner Management System and reported to state or federal bodies.

Appeals process

Appeals will be managed in accordance with the Appeals Procedure. All learners have access to appeal assessment decisions made.

Recognition

Recognition will be managed in accordance with the Recognition Procedure (this includes Recognition of Prior Learning and Credit Transfer).

Re-assessment

All learners are entitled to a minimum of one free re-assessment after additional training has taken place. Assessors are to make a determination as to whether a learner can have a second reassessment or if complete retraining in the unit of competency/cluster needs to occur.

Where a learner does not satisfactorily meet the requirements of an assessment, assessors can review under reasonable adjustment if further changes can be made to the assessment without compromising the integrity of the outcome of the unit of competency.

Where a practical assessment that has high resource requirements is required to be re-assessed fees may apply, see Fees and Charges Policy for more details.

Clustered Assessment Determinations

Achieving a Not Yet Satisfactory on a clustered assessment does not necessarily preclude a learner from achieving Competent across all units within the cluster.

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Where a learner has undertaken a clustered assessment but is only able to successfully demonstrate competency to some but not all of the assessment, the assessor should refer to the mapping guides to make a determination of competency specific to individual units of competency within the cluster.

7. Understanding Assessment Determinations

Below are a range of possible assessment outcomes and their definitions as supplied by the AVETMISS Data Element Definitions

Competency not achieved/fail

The learner has attempted all of the requirements for the assessment and has been assessed as not competent, or as not satisfying one or more of the requirements for the unit of competency or module. For example, this code would apply if a learner attempted ten often required assessments and was assessed as not competent in one or more of the assessments. However, if a learner had only attempted nine of the ten assessments, this code would not be used as the learner must attempt all of the assessments in order to receive a 'Competency not achieved/fail' code.

Withdrawn/discontinued

Withdrawn is reported for learners under two possible scenarios. The first scenario is that the learner has engaged in some learning activity and has then notified the training organisation of their withdrawal before completing all of the assessment criteria.

The second situation is where the learner has engaged in some learning activity and then stopped attending or submitting assessments (i.e. discontinues) without notifying the training organisation.

In this situation, a learner does not attend the final assessment and has not made contact with the training organisation to formally withdraw or arrange a continuing status. The withdrawn code applies in this situation, even if the learner has completed some assessments and been assessed as not competent for one or more assessments.

Note: In WA, if withdrawal date is in previous calendar year, approval from the CEO must be sought prior to changes within the data.

Note: For more information about this please refer to our Course Progress Policy and Procedure.

Non-assessable enrolment

Only to be used for non-accredited training

Assessment tool development

8. Procedure

- Admin will be responsible for enrolling learners in elearn and ensuring that all learners have access to training and assessment materials

- Assessors are ultimately responsible for ensuring that evidence of competency is collected in line with the training package, Rules of Evidence and Principles of Assessment
- Quality Consultant will provide an annual review of the effective assessment policy and provide any outstanding issues in a report to the CEO for actioning
- Quality consultant will work with trainers and the CEO to undertake validation as per the validation schedule
- The CEO and owners are ultimately responsible for ensuring the assessment system is compliant.

9. Related documents

The following documents are part of the RTOs assessment system-

- Training and Assessment Strategies
- E-learn
  - Mapping Guide
  - Assessor Guides
  - Learner assessments
  - Supplemental observations (learner and assessor versions) (awaiting upload)
  - Video and photographic uploads
- Trainer & Assessor documentation
  - Trainer matrices
  - aXcelerate matrices
  - various AQF documentation
  - evidence of currency for both industry and VET will vary
- Validation documentation
  - Validation register
  - Validation forms

10. Policy Review

This policy will be reviewed each year and as a standing item, include details of the date it was reviewed.

1.

2.

3.

11. Policy Additions or Amendments

Separate to the mandated annual review, the policy may be varied at any time due to legislative changes or to fall in line with widely accepted best practices in the workplace. In the event of any changes, the policy will be updated and relevant stakeholders advised.

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12. Schedule of Approvals and Amendments

This document is owned by Jim Dogruer, CEO.

Status Initial document / Amendment	Actioned By	Date of Review	Scheduled Review
Created & Reviewed	Jim Dogruer	01/02/2019	01/02/2020
Minor updates	Lauren Hollows	13/10/2019	01/07/2020

Jim Dogruer
Chief Executive Officer