



Australian Leading Institute of Technology

RTO Code: 45156

CRICOS Code: 03981M

No.4.1.13: Assessment Principles Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	ESOS Standards 2018 – Standard: 8.9.1; Standards for RTOs 2015 – Standard: 1.7; 1.8; 1.9; 1.11; 1.25; 2.2(b); 5.2(d); 5.2(e)ii;
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

The ALIT is a training organisation with best practice as its main benchmark.

The purpose of this policy is to:

- Comply with the principles of assessment (fairness, flexible, validity and reliability) and the rules of evidence (validity, sufficiency, authenticity and currency) when preparing for and conducting assessment of students.
- All assessments must comply with the Assessment Guidelines included in the applicable nationally endorsed training packages or the assessment requirements specified in accredited courses. Ensure consistent, best practice in education, training and assessment.
- Ensure training and assessment at ALIT is in accordance with the principles and parameters of the Australian Qualifications Framework (AQF).
- Ensure all assessments comply with the Assessment Guidelines in applicable nationally endorsed Training Packages and/or State accredited curricula.
- Ensure qualifications, skill sets and statements of attainment are issued in accordance with the requirements of the AQF and qualification requirements specified in national training packages and/or State accredited curricula.

- Ensure compliance with the requirements of the Australian Skills Quality Authority (ASQA) and Department of Education and Training Guidelines for Registered Training Organisations (ALIT).
- Ensure compliance with the audit requirements of the Australian Skills Quality Authority (ASQA) and Department of Education and Training to promote continuous improvement in education, training and assessment practice.
- All assessments of accredited training will lead to the issuing of a Statement of Attainment or qualification under the AQF when a person is assessed as competent against nationally endorsed unit(s) of competency in the applicable Training Package or modules specified in the applicable accredited course.

Objective

The objective of this Policy and Procedure for ALIT is to ensure that ALIT:

- has suitable and appropriate assessment management system in place
- policy framework to comply with the assessment guidelines
- personnel know their responsibilities and obligations

For the purposes of this policy, the term “ALIT” refers to the registered training organisation.

Scope

This policy will apply to

- All current, prospective and previous students,
- All Staff
- Other ALIT stakeholders.

Policy Statement

ALIT is committed to maintaining compliance with all regulatory, legislative and contractual requirements.

Specifically, we will:

- *Ensure that all relevant staff have access to the policy*
- *Ensure staff know their obligations and responsibilities*
- *Ensure ALIT has suitable and appropriate assessment systems and processes*
- *Ensure ALIT has a compliant policy framework to support the assessment systems and principles*
- *Ensure staff know their limitations*

General Process

Items	Processes	Roles
Process	<p>The assessor establishes the context and purpose of the assessment by identifying the relevant competency standards, assessment guidelines and qualification framework, identifies the support materials that have been purchased and developed to facilitate the learning and assessment process.</p> <p>Each unit in Vocational Education & Training refers to assessment conditions reflecting that of a simulated work environment. As such, the assessor is to ensure a simulated work environment is developed and maintained in which each assessment is to take place.</p> <p>A simulated workplace environment refers to:</p> <ul style="list-style-type: none"> (a) Aligning the context of the assessment to reflect vocational circumstances (i.e. – the assessor role plays the role of the Lead trainer or Manager (Compliance) where appropriate) (b) Ensuring the environment reflects the workplace (c) In some circumstances, the assessor may be able to use real life vocational scenarios (i.e. – working with real customers or real businesses) (d) Teamwork may be utilised in a simulated workplace, however the assessor must ensure each candidate is assessed individually on each aspect of the relevant unit of competency (and not be carried by other students) <p>Prepare the candidate</p> <p>The assessor discusses with candidate to:</p>	

	<ul style="list-style-type: none"> (a) Explain the context and purpose of the assessment and the assessment process. (b) Explain the Competency Standards to be assessed and the evidence to be collected. (c) Advise on self-assessment including processes and criteria. (d) Outline the assessment procedure, the preparation which the candidate should undertake, and answer any questions. (e) Assess the needs of the candidate and, where applicable, negotiate reasonable adjustment for assessing people with disabilities without compromising the integrity of the competencies. (f) Remind the candidate of the ALIT rules on Plagiarism and Cheating (g) Seek feedback regarding the candidate's understanding of the competency standards, evidence requirements and assessment process. (h) Determine if the candidate is ready for assessment and, in consultation with the candidate, decide on the time and place of the assessment (i) Implement the assessment. <p>Plan and prepare the evidence gathering process</p> <p>The assessor must:</p> <ul style="list-style-type: none"> (a) Use the correct assessment tools to gather sufficient and quality evidence about the candidate's performance to make the assessment decision. (b) Organise equipment or resources required to support the evidence gathering process. 	
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	<p>(c) Coordinate and brief other personnel involved in the evidence gathering process.</p> <p>Collect the evidence and make the assessment decision</p> <p>The assessor must:</p> <p>(a) Establish and oversee the evidence gathering process to ensure the principles of assessment (fairness, flexible, validity and reliability) and the rules of evidence (validity, sufficiency, authenticity and currency) are satisfied.</p> <p>(b) Collect appropriate evidence and assess this against the Elements, Performance Criteria, Range Statement and Evidence Guide in the relevant Units of Competency.</p> <p>(c) Incorporate allowable adjustments to the assessment procedure without compromising the integrity of the competencies.</p> <p>(d) Evaluate the evidence in terms of the principles of assessment (fairness, flexible, validity and reliability) and the rules of evidence (validity, sufficiency, authenticity and currency).</p> <p>(e) Consult and work with other staff in the assessment process.</p> <p>(f) Record details of evidence collected.</p> <p>(g) Make a judgement about competency based on the evidence and the relevant Unit[s] of Competency.</p>	
<p>Provide feedback on the assessment</p>	<p>The assessor must provide advice to the candidate about the outcomes of the assessment process. This includes providing the candidate with:</p> <p>(a) Clear and constructive feedback on the assessment decision.</p>	

	<p>(b) Information on ways of overcoming any identified gaps in competency revealed by the assessment the opportunity to discuss the assessment process and outcome information on reassessment and the appeals processes.</p> <p>(c) An opportunity for reassessment if appropriate or requested by the candidate.</p>	
Record and report the result	<p>The assessor must:</p> <p>(a) Record the assessment outcome.</p> <p>(b) Maintain records of the assessment procedure, evidence collected and the outcome.</p> <p>(c) Provide signed and dated assessment outcomes to the Administrative assistant competencies are achieved for each unit.</p> <p>(d) Maintain the confidentiality of the assessment outcome.</p>	
Review the assessment process	<p>On completion of the assessment process, the assessor must:</p> <p>(a) Review the assessment process.</p> <p>(b) Make suggestions (if necessary) on improving the assessment procedures to the Course Coordinator.</p>	
Participate in the reassessment and appeals process	<p>The assessor must:</p> <p>(a) Provide feedback to the candidate, if required, regarding the assessment outcome including guidance on further options.</p> <p>(b) Provide the candidate with information on the reassessment and appeals process.</p>	

	<p>(c) Report any assessment decision that is disputed by the candidate to the Course Coordinator.</p> <p>(d) Participate in the reassessment or appeal according to our policies and procedures.</p>	
<p>Writing Assessment Tools – Points to be considered in development</p>	<p>Assessment must comply with the Assessment Guidelines included in the applicable nationally endorsed training packages or the assessment requirements specified in accredited courses.</p> <p>Assessment Tools must satisfy the principles of assessment (fairness, flexible, validity and reliability) and the rules of evidence (validity, sufficiency, authenticity and currency).</p> <p>Assessment tools must focus on the application of knowledge and skills to the standard of performance required in the workplace and cover all aspects of workplace performance, including task skills, task management skills, contingency management skills and job role environment skills.</p> <p>Involve the evaluation of sufficient evidence to enable judgements to be made about whether competency has been attained.</p>	
<p>Validation & Moderation</p>	<p>See the Validation and Moderation Policies and Procedures</p> <p>Assessment Information</p> <p>What is competency?</p> <p>Competency involves the specification of skills and knowledge and their application to a standard of performance required in the workplace. Aspects of work performance included in this concept involve:</p> <p>(a) Performance at an acceptable level of technical skill;</p>	

	<p>(b) Organising one's tasks;</p> <p>(c) Responding and reacting appropriately when things go wrong; and</p> <p>(d) Transferring skills and knowledge to new situations and contexts.</p> <p>What are standards?</p> <p>Standards are statements of the required workplace levels of performance</p> <p>What is Assessment?</p> <p>Assessment is the process of collecting evidence and making judgements on the extent and nature of performance and other requirements, as described in a set of standards, or learning outcomes, resulting in a judgement of whether or not competency has been demonstrated.</p> <p>Effective and objective assessment is key to the successful implementation of competency standards in the workplace and in education. This is the judgement of performance and knowledge against the relevant industry competency standards.</p> <p>Assessment is carried out by the comparison of a candidate's evidence of skills and knowledge, against the requirements of the Standards.</p>	
<p>What are the principles of assessment?</p>	<p>VALIDITY</p> <p>The assessments actually assess what they claim to assess and what they have been designed to assess.</p> <p>Validity of assessment is achieved when:</p>	

	<ul style="list-style-type: none"> Assessors are fully aware of what is to be assessed, as indicated by the standards of competence, including clearly defined performance criteria Appropriate evidence is collected from activities that can be clearly related to the units of competency. <p>RELIABILITY</p> <p>The evidence collected is authentic that is, it is actually derived from valid sources and is directly attributable to the individual.</p> <p>Reliable assessment uses methods and procedures that ensure that the competency standards are interpreted and applied consistently from person to person and from context to context.</p> <p>The following are important to ensure that assessment produces consistent outcomes:</p> <ul style="list-style-type: none"> Clear, unambiguous, well documented assessment procedures and competency standards; Clear, consistent and specific assessment criteria; Effectively trained, briefed and monitored assessors; Adequate assessors across industries and a hierarchy of assessment which ensures a quality outcome; and Assessment is carried out within a system flexible enough to cope with multiple and diverse forms of evidence. <p>FLEXIBILITY</p> <p>Every portfolio or set of candidate evidence is unique. Each candidate will identify and develop his or her own specific set of evidence to prove competency against</p>	
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	<p>the standards. This set will be based on the workplace experience of the candidate and will comprise diverse types and forms of relevant and appropriate evidence.</p> <p>Assessors must be capable of taking a flexible approach to the assessment of evidence. Clearly, this approach must always take time and cost into account both to ensure the best use of assessor time and from the viewpoint of the candidate and his or her employer.</p> <p>An assessment system must evaluate the scope of knowledge and skills covered by the criteria both performance (skill) and underpinning knowledge and understanding.</p> <p>FAIRNESS</p> <p>An assessment system and its processes must not disadvantage any person or organisation. All eligible candidates must be guaranteed access to assessment, which does not discriminate on any basis. Assessment guidelines must include an approach for working with candidates who have special needs.</p> <p>To achieve these principles, the assessment system must exhibit the following characteristics:</p> <p>The standards, assessment processes and all associated information are straight forward and understandable;</p> <p>The characteristics of potential candidates are identified, to enable all potential assessment issues to be identified and catered for;</p> <p>The chosen processes and materials within the system of assessment do not disadvantage candidates;</p> <p>An appropriate and effective review and dispute resolution mechanism is in place to investigate, examine and redress any issue of unfairness or disadvantage</p>	
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	<p>identified, involving access, assessment, certification or any other related issue; and</p> <p>Where potential disadvantages are identified, the system is amended to avoid or counter them, or appropriate steps taken to overcome them including reassessment if required.</p> <p>What are the rules of evidence?</p> <p>CURRENCY</p> <p>Under an effective system, assessment evaluates whether or not the individual's skills and knowledge are current and can be applied in today's workplace. As a general rule, competencies that have not been demonstrated within the past 3 years are not usually accepted as "current". However, an assessor, under some circumstances may make exceptions to the specified period.</p> <p>There may be specific situations where individual skills have not been directly applied for a longer period, but these skills are in fact still current for the individual. In cases such as this, evidence from earlier periods may be admissible, and assessed for currency, within an appropriately flexible assessment system.</p> <p>SUFFICIENCY</p> <p>Evidence of competency should be sufficient to cover all the elements, performance criteria and required range of variables in the standards against which assessment is to be carried out.</p> <p>A tendency of many candidates is to provide more (or less) evidence than is actually required to prove competency against the standards. An effective assessment system ensures that candidates are clearly advised regarding the amount and form of evidence, which is sufficient to prove competency. This should avoid the situation where masses of evidence are provided, requiring</p>	
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	<p>assessors to spend more time than necessary per candidate, or too little evidence, making it difficult to judge competence</p> <p>VALIDITY</p> <p>The assessment system must ensure that evidence collected and provided for judgement is consistent across the range, without undue reliance on any small number of select workplace contexts or projects.</p> <p>AUTHENTICITY</p> <p>The evidence collected is authentic that is, it is actually derived from valid sources and is directly attributable to the individual.</p> <p>What is the role of an Assessor?</p> <p>i) The role of an assessor is to objectively assess and judge a candidate's evidence against a set of standards. In order to do this effectively, an assessor must have a sound knowledge of, and be skilled in, the relevant industry area. In addition, the assessor must have acknowledged competency in assessment itself and hold an appropriate Workplace Assessor qualification or equivalent.</p> <p>ii) An assessor must:</p> <p>Interpret and understand the criteria;</p> <p>Ensure that evidence meets the standards;</p> <p>Ensure that evidence is valid, authentic, reliable, consistent, current and sufficient; and</p> <p>Use expertise to make fair and objective judgements.</p> <p>i) The training and ongoing professional development of assessors must include such areas as:</p>	
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	<ul style="list-style-type: none"> • Roles, responsibilities and ethics; • Procedural and administrative duties. • Performance and knowledge evidence gathering and presentation. • Interpretation and usage of standards. • Selecting and using appropriate methods of assessment and • Requirements regarding processing and recording of results, progress and feedback. <p>It is crucial that assessors always understand and practise fair, objective, unbiased and flexible assessment processes.</p>	
<p>What is classed as evidence?</p>	<p>In general, basic forms of skills evidence include:</p> <p>Direct performance evidence current or from an acceptable past period from:</p> <ul style="list-style-type: none"> • Extracted examples within the workplace; • Natural observation in the workplace; and • Simulations, including competency and skills tests, projects, assignments <p>Supplementary evidence, from:</p> <ul style="list-style-type: none"> o Oral and written questioning; o Personal reports; and o Witness testimony. <p>Appropriate and valid forms of assessment utilised for both skills and knowledge may include:</p>	

	<ul style="list-style-type: none"> • Evaluation of direct products of work; • Natural observation; • Skill tests, simulations and projects; • Evaluation of underpinning knowledge and understanding; • Questioning and discussion; and • Evidence from prior achievement and activity. 	
<p>What about clients with special needs?</p>	<ul style="list-style-type: none"> i) One fundamental principle of an assessment system is that each candidate must have access to fair and open assessment. Candidates with special needs should be offered the same opportunities as any other candidate. ii) As special needs extend to more than identify physical or learning difficulties, an assessor will also need to consider the best approach when dealing with candidates with needs such as low literacy, lack of confidence or non-English speaking background. iii) An assessor must take special needs into consideration from the planning stage onwards and adopt particular assessment methods as appropriate. Depending on any specification given in the standards, the assessor may be able to accept alternative evidence from a candidate with special needs. iv) If there is uncertainty, the assessor should call on other assessors or a verifier for assistance and guidance, as required. In such a case, the situation must be fully documented, with appropriate feedback being provided to the candidate at all stages. 	

	<p>Feedback</p> <p>Where students are assessed as not competent they will be provided with additional feedback on their assessment outcome to assist in achieving the required performance standard on reassessment.</p>	
Reassessments	<p>Students are provided with two re-attempts after the student is deemed not-yet-competent. (If assessment/unit requirements don't contradict explicitly)</p> <p>Students who are dissatisfied with their assessment outcome may apply for reassessment by contacting their trainer or assessor.</p>	
Special Needs Guidelines	<p>Please refer to Policies:</p> <p>(a.) Access and equity policy</p> <p>(b.) Training and assessment policy</p> <p>(c.) Disability support and reasonable adjustment policy</p>	

Procedures

Procedures are provided with the general process.

Version Control:

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