

APPT002 Assessment Policy & Procedures

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Approved by	CEO
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References:	Standards for RTOs 2015: Clause 1.8-1.12 National Code of Practice for Providers of Education and Training to Overseas Students 2018: Standard 2

1. Purpose

- 1.1. According to clauses 1.8-1.12 of Standard 1 of Standards for Registered Training Organisations (RTOs) 2015, ALLIED INSTITUTE will recognise assessment as a core service to be offered to its students, and it will be the centre of our operation as a Registered Training Organisation. Quality assessment will ensure that the skills and knowledge of students are assessed using four principal determinants that
 - 1.1.1. The assessment decisions are based on the assessment of skills and knowledge compared with units of competency drawn from nationally endorsed Training Packages or accredited courses.
 - 1.1.2. The target industry or enterprise requirements are contextualised and integrated within the assessment.
 - 1.1.3. The evidence is gathered that meets the rules of evidence.
 - 1.1.4. The assessment is conducted in accordance with the principles of assessment.
- 1.2. Additionally, Standard 2 of the National Code of Practice for Providers of Education and Training to Overseas Students 2018 gives a detailed explanation of the Recognition of Prior Learning (RPL) policy.

2. Responsibility

- 2.1. The Training Manager will be held responsible for overall adherence to this policy.
- 2.2. All the trainers are responsible for implementing and maintaining key principles of assessment and providing required information, support and direction to the students.
- 2.3. The CEO of ALLIED INSTITUTE is responsible for approving all the documents related to the assessment policy.

3. Definitions

- 3.1. AQF means Australian Qualifications Framework, which can be accessed at <http://www.aqf.edu.au/>
- 3.2. ASQA means Australian Skills Quality Authority, which is the national VET regulator and the

- College's registering body
- 3.3. UoC means Unit of Competency as published on <https://training.gov.au/>
 - 3.4. Foundation Skills describe the language, literacy, numeracy and employment skills incorporated in the performance criteria required for a UoC's competent performance.
 - 3.5. Assessment tool means a coordinated set of documents used by the assessor to ensure a candidate, also known as student or learner, is competent or not yet competent in a unit of competency.
 - 3.6. Competency means the consistent application of knowledge and skill to the standard of performance required in the workplace. It embodies the ability to transfer and apply skills and knowledge to new situations and environments.
 - 3.7. Recognition of Prior Learning is defined by the Standards as an assessment process that assesses the competency/s of an individual that may have been acquired through formal, non-formal and informal learning to determine the extent to which that individual meets the requirements specified in the training package or VET accredited courses.
 - 3.8. RPL means Recognition of Prior Learning
 - 3.9. Standards refers to the Standards for Registered Training Organisations (RTOs) 2015
 - 3.10. Students refer to learners, candidates and enrolled persons in a UoC completing a qualification, short course, stand-alone unit, or skill-set.
 - 3.11. First attempt means the first submission of a student submitting an assessment task that must happen by the last day of the unit delivery.
 - 3.12. Second attempt means the second attempt of a student submitting assessment tasks that must happen by either seven (7) days from the last day of the unit's delivery or seven (7) days from the assessor's Not Yet Satisfactory result, or as directed by the Student Experience Team.
 - 3.13. Reassessment means subsequent submissions made by the student during the term of delivery and the term after that. This is managed on a case-by-case basis.
 - 3.14. Re-enrolment in a UoC also referred to as reenrolment, reenrollment or re-enrollment, means that a student must complete all assessment tasks as the student's evidence currency may not be reflected.

4. Scope

- 4.1. It applies to all current and future students, trainers and assessors, and admission and student services staff at ALLIED INSTITUTE.

5. Policy

Assessing the Unit of Competency

- 5.1. ALLIED INSTITUTE uses units of competency drawn from nationally endorsed Training Packages as an assessment benchmark. These and other industry-specific publications inform the context and standard of performance during assessment.
- 5.2. To identify the precise assessment criteria, we apply a methodology of unpacking a unit of competency to assess the full scope of the unit, including elements of competence, performance evidence, knowledge evidence and the requirements of the evidence conditions. This process ensures that our assessment strategies accurately reflect the

requirements of the relevant training package and respect the rules of evidence and principles of assessment. To ensure alignment with all components of a unit of competency, unit mapping is undertaken during the design and development of the assessment. Unit mapping is confirmed when carrying out the unit validation of assessment tools.

- 5.3.** Unit mapping will show the relationship between the planned assessment activities and each unit component. This must be conducted at a micro level of detail to allow the mapping to be useful later on as a reference to demonstrate the validity of the assessment. An assessment mapping document is available for this purpose. The assessment mapping will include all component specified in the unit of competency and it includes the:
- a) Elements (E) and Performance Criteria (PC),
 - b) Knowledge Evidence (KE)
 - c) Performance Evidence (PE)
 - d) Assessment Conditions

Although not directly mapped, the AQF standard level of performance and the Foundation Skills are incorporated into the assessment to ensure competency.

Assessment context

- 5.4.** ALLIED INSTITUTE recognises the importance of establishing the right context for students during their assessment. Assessment context refers to the physical and non-physical environment in which skills and knowledge are assessed. This may be a workplace such as an office or fieldwork. The non-physical environment refers to things such as workplace policy and procedure, workplace tempo and culture. Many units of competency may be applied in any workplace, such as skills and knowledge relating to workplace safety or leadership. To achieve this, we apply the following strategies:
- a) Incorporation of the common workplace policies and procedures into the assessment scenario or activity.
 - b) Integration of relevant industry codes of practice and other industry information into the assessment activity.
 - c) Incorporation of industry job descriptions for students to align with during realistic simulated workplace scenarios and case studies.
 - d) Incorporation of regulatory information relating to licensing that applies to the unit of competency.
 - e) Tailoring the courses outcomes to meet the students' training needs without compromising the Training Package requirements.
 - f) Creating assessment activities that require the student to conduct specific research on industry situations and occurrences where applicable.
 - g) Provide a realistic simulated workplace within ALLIED INSTITUTE facilities.
- 5.5.** While applying these strategies, it is important to ensure that in establishing the context for assessment, we do not affect the transferability of the unit of competency. When the student is assessed as competent, this also means that the student can transfer the applicable skills and knowledge between different workplaces and contexts. This means that competency is transferable and is a fundamental element of competency-based training and assessment.

Principles of assessment

- 5.6.** In delivering assessment services, ALLIED INSTITUTE applies the principles of assessment. Assessment strategies have been designed to ensure:

5.6.1. Validity

ALLIED INSTITUTE conducts assessments against the broad range of skills and knowledge

identified within each unit of competency, which are integrated with the performance of assessment tasks. ALLIED INSTITUTE ensures that the assessment is transferable to different contexts and situations and that all components of the unit of competency are being assessed.

5.6.2 Reliability

ALLIED INSTITUTE seeks to gather and interpret evidence consistently, ensuring reliable assessment for both students and assessors. We achieve this by using assessors who have the required assessment competencies and the relevant vocational competencies. Our assessment resources also provide standardised outcomes supported by model answers to guide assessors in their judgements. Reliability is also supported by the moderation of assessment judgements across our assessors.

5.6.3 Flexibility

ALLIED INSTITUTE strives to provide assessment opportunities that reflect a student's needs. The chosen assessment strategies provide for recognition of a student's currently assessed competency and employ a range of methods appropriate to the context of the industry, the unit of competency, the qualification and the student themselves.

5.6.4 Fairness

ALLIED INSTITUTE assessment approach encourages fairness in assessment by considering the student's needs and characteristics and making reasonable adjustments when required. Assessors achieve this through clear communication with the student to ensure that the student is fully informed about, understands and is able to participate in the assessment process and agrees that the process is appropriate.

Collecting evidence that counts – the rules of evidence

In collecting evidence, ALLIED INSTITUTE applies the rules of evidence to inform the assessment strategy. Assessment strategies have been designed to ensure:

5.7. Sufficiency

ALLIED INSTITUTE ensures the collection of valid assessment evidence in such quantity to ensure that all aspects of competency have been satisfied and that competency can be demonstrated repeatedly. The collection of sufficient assessment evidence will be supported by using a range of assessment methods, which lead to the collection of evidence over time based on a range of performances.

5.8. Validity

ALLIED INSTITUTE collects evidence that directly aligns with the components documented within each unit of competency. The collected assessment evidence must replicate the outputs of the task as though it were being performed within an actual workplace. This may include the observation of the student performing the tasks relevant to the unit of competency or the collection of completed workplace products. Assessment of purely academic evidence should be given a lesser priority to the collection of evidence that relates directly to the student performing the tasks indicative of the unit of competency.

5.9. Authenticity

ALLIED INSTITUTE seeks evidence that is authentic. To support this, assessors must be assured that the evidence presented for assessment is the student's own work. Where documentary evidence is relied on, it must be certified or supported by two other forms of evidence that demonstrate the same skill or knowledge. In all instances where work is submitted external to ALLIED INSTITUTE (i.e. electronically, distance assignments, online), this is to include an authenticity statement by the student that they certify the work as their own.

5.10. Currency

ALLIED INSTITUTE must be satisfied that the student currently holds the skills and knowledge relating to a particular unit of competency. Assessment evidence is to be based on the student's performance either at the time of the assessment decision or in the very recent past. Questions of evidence currency will mostly relate to recognition of prior learning applications where a student has been in the workplace for many years and is seeking recognition of skills and knowledge obtained through workplace experience or previous training. In all situations, assessors must validate the currency of a student's knowledge and skills.

6. Assessment Process

The following procedure is to be applied for conducting assessments:

Step 1: Prepare for assessment.

The assessor is to:

- a) Establish the context and purpose of the evidence to be collected.
- b) Identify and analyse the units of competency, Training Package and ALLIED INSTITUTE assessment strategy to identify the evidence requirements.
- c) Review the assessment tools and confirm their currency and adequacy in meeting the rules of evidence.

Step 2: Prepare the student.

The assessor meets with the student to:

- a) Explain the context and purpose of the assessment and the assessment process.
- b) Explain the units of competency to be assessed and the evidence to be collected.
- c) Outline the assessment procedure and the preparation the student should undertake and answer any questions.
- d) Assess the student's needs and, where applicable, negotiate reasonable adjustments for assessing people with disabilities without compromising the competency outcomes.
- e) Seek feedback regarding the student's understanding of the units of competency, evidence requirements and assessment process.
- f) Determine if the student is ready for assessment and, in consultation with the student, decide on the time and place of the assessment.

Step 3: Plan and prepare the evidence-gathering process.

The assessor must establish a plan for gathering evidence of sufficient quality about the student's performance to make the assessment decision:

- a) Source or develop assessment materials to assist the evidence-gathering process.
- b) Organise equipment or other resources required to support the evidence-gathering process.
- c) Coordinate and brief other personnel involved in the evidence-gathering process.

Step 4: Collect the evidence and make the assessment decision.

The assessor must establish and oversee the evidence-gathering process to ensure its validity, reliability, fairness and flexibility:

- a) Collect appropriate evidence and match compatibility to the elements, performance criteria, range statement and evidence guide in the relevant units of competency.
- b) Evaluate evidence in terms of the four dimensions of competency - task skills, task management skills, contingency management skills and job/role environment skills.
- c) Incorporate allowable adjustments to the assessment procedure without compromising the integrity of the competencies.
- d) Evaluate the evidence in terms of validity, consistency, currency, authenticity, and sufficiency.
- e) Consult and work with other staff or technical experts involved in the assessment process.
- f) Record details of evidence collected.
- g) Make a judgement about the student's competence based on the evidence and the relevant unit(s) of competency.

Step 5: Provide feedback on the assessment.

The assessor must provide advice to the student about the outcomes of the assessment process. This includes providing the student with:

- a) Clear and constructive feedback on the assessment decision.
- b) Information on ways to overcome any identified gaps in competency revealed by the assessment.
- c) The opportunity to discuss the assessment process and outcome.
- d) Information on reassessment and the appeals process, if applicable.

Step 6: Record and report the result.

The assessor must record the assessment outcome within 14 days from the unit's last delivery date for the student's attempts and

- a) Maintain records of the assessment, evidence collected, and outcome according to ALLIED INSTITUTE's assessment instructions and policies & procedures.
- b) Maintain the confidentiality of the assessment outcome.

Step 7: Review the assessment process. Assessment validation.

On completion of the assessment process, the assessor must review the assessment process:

- a) Report on the positive and negative features of the assessment to those responsible for the assessment procedures.
- b) Suggest to the appropriate ALLIED INSTITUTE personnel how to improve the assessment procedures by raising a Continuous Improvement Report or providing input to the next scheduled assessment validation.

Step 8: Participate in the reassessment and appeals process.

Whenever required, the assessor must:

- a) Provide feedback and counsel to the student regarding the assessment outcome or process, including guidance on further options.
- b) Provide the student with information on the reassessment and appeals process.
- c) Report any assessment decision that the student disputes to appropriate ALLIED INSTITUTE personnel.
- d) Participate in the reassessment or appeal according to the policies and procedures of ALLIED INSTITUTE.

7. Assessment Attempts

- 7.1. Students are given three (3) opportunities to complete their assessments before resulting in a re-enrolment in the unit.
- 7.2. The student must submit their first attempt on the last day of the UoC delivery. Failure to do so results in the student's waiving their first attempt.
Students must submit their second attempt either within seven (7) days as per the date written on the timetable or seven days from the marked assessment date. Failure to do so will result in the student's waiving their second attempt.
For the student's second attempt the student is only expected to re-submit the sections of the original assessment that didn't meet the requirements on the previous attempt or attempts. Prior to the second attempt at re-submissions, the student must seek additional support, clarification, and mentoring from their trainer or assessor to maximise their success in completing the assessment task/s.
- 7.3. Student can request a reassessment opportunity by completing the "Open Assessment Request Form" by scanning the QR Code and filling in the required fields. A reassessment requires a student to complete only the assessment components that are deemed not yet satisfactory. If the student requests to attempt the assessment task after the term's end date, the student may be required to pay a fee, which is detailed in a separate document. The Student Services Team (SS) will manage the reassessment in a case-by-case situation, which may provide a customised plan to the student. Refer to the SS for more information about the fees only if students do not
 - 7.3.1. Satisfactorily complete their assessment tasks within the first and second attempts or
 - 7.3.2. Attend all observations required by the assessment
- 7.4. Students who waive their first and second attempts may not be offered further opportunities for reassessment, and the result for that UoC may be recorded as "Not Yet Competent" on a case-by-case basis. The student will then need to complete all assessment tasks and pay a fee, which is detailed in a separate document. Refer to the Student Services Team for more information about the fees. Refer to the Student Services Team for more information about the fees.
- 7.5. Students who are unable to attain a satisfactory outcome in all assessment tasks within the reassessment opportunity may not be offered further options to attempt assessment tasks, and the result for that UoC may be recorded as "Not Yet Competent" on a case-by-case basis.
Should the student require it, they must re-enrol in the unit and complete all components of their assessment tasks at a cost. Refer to the Student Services Team for more information about the fees.
Students unhappy with their assessment outcomes can follow the complaints and appeal procedures outlined in the Complaints and Appeal Policy and Procedures.
Refer to "Table 1" for the flowchart of the assessment submission process.

8. Engagement with industry

- 8.1. ALLIED INSTITUTE is well placed to leverage current industry associations to incorporate industry requirements into the assessment process.
- 8.2. Consultation with the industry will provide information about assessment requirements relevant to workplaces.

- 8.3.** Regulatory requirements related to specific units of competency will be incorporated to ensure the students are well-prepared for their workplace duties. The industry engagement policy provides further information on industry engagement.

9. Recognition of prior learning (RPL)

- 9.1.** ALLIED INSTITUTE allows all students to seek recognition of their prior learning.
- 9.2.** Recognition is viewed simply as another method of assessment and, therefore, is conducted in accordance with this policy. The RPL process, as available in “Table 2” is:
- a) The candidate will enquire and complete a self-assessment.
 - b) The candidate will submit their application with supporting documentation as required by the tool.
 - c) The assessor and the candidate will have a competency interview.
 - d) If required, the assessor will conduct a practical skills assessment.
 - e) The assessor will confirm if the candidate has training and assessment gaps or the RPL is granted.
 - f) The assessor will conduct gap training and assessment if the candidate requires.
 - g) Upon satisfactory completion of all assessment requirements, the candidate achieved competency in a UoC or has completed a qualification or part thereof.

10. Credit transfer

- 10.1.** ALLIED INSTITUTE will recognise and award credit transfer (CT) for students presenting with current competency.
- 10.2.** Where a student is seeking credit transfer for a unit of competency on our scope of registration, the student can provide documentary evidence that the unit was previously awarded to the student. A credit transfer will be awarded.
- 10.3.** The credit transfer is not an assessment. It is an administrative function that determines the equivalence of a unit of competency that the student has previously been awarded to units of competency incorporated into courses delivered by ALLIED INSTITUTE. If a student applies for CT for a unit and the evidence supplied confirms that the unit is the same or equivalent, then the unit will be issued as a credit transfer. This is not to be confused with the RPL, which is a method of assessment. Please refer to the Credit transfer policy for further guidance.

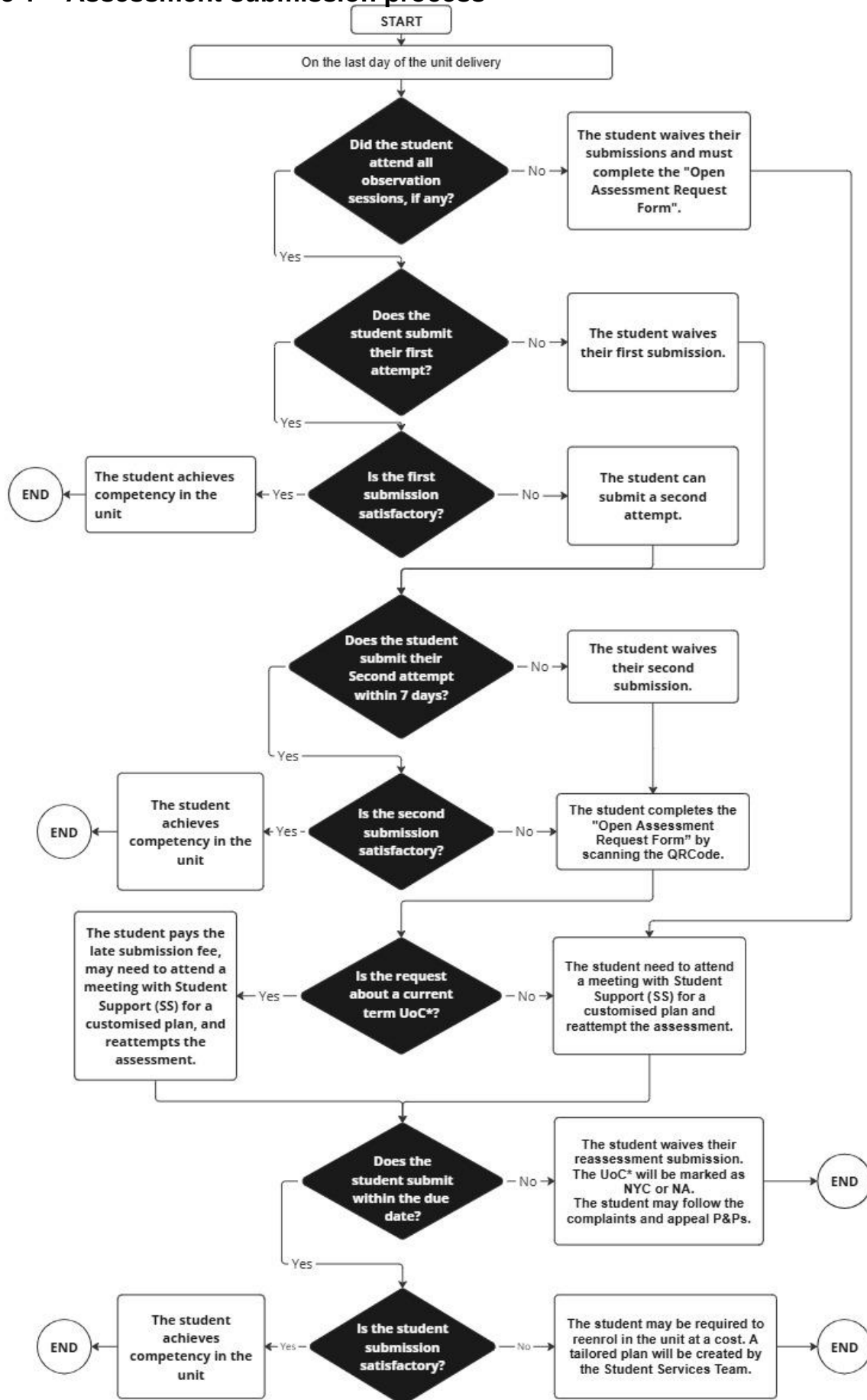
11. Competence of assessors

- 11.1.** In accordance with the Standards for Registered Training Organisations (SRTOs), the assessors are required to hold the minimum competencies for training assessment and the vocational competencies at least to the level being assessed.
- 11.2.** ALLIED INSTITUTE has appropriate systems in place to ensure that all staff members are appropriately qualified to meet our requirements under the SRTOs.

12. Policy Control

Version	Date	Changes / Updates	Approved
1.0	Sep 2023	RTO Policy and Procedure of ALLIED INSTITUTE	CEO
2	May 2024	Clarification of scope, rewrite of the procedure of submission and marking.	CEO

Table 1 – Assessment submission process



* Unit of Competency

Table 2 – RPL Process

