The College

THE RTO ASSESSMENT PROCEDURE

1 PURPOSE

1.1 This procedure outlines how The RTO meets its obligations to the principles of assessment, the rules of evidence and the Training Package requirements when conducting assessment.

1.2 This procedure also outlines how The RTO conducts assessment validation to ensure quality in relation to assessment tools and processes.

2 SCOPE

2.1 The Assessment Procedure, including Validation, applies to all staff, Trainers/Assessors, contractors and consultants working on assessment related activities at The RTO.

3 ASSESSMENT CONTEXT

3.1 The RTO establishes the correct context for candidates to undertake their assessment. To achieve this, The RTO may apply the following strategies:

3.1.1 Incorporation of the candidate's own workplace policies and procedures into the assessment scenario or task.

3.1.2 Conduct of the assessment in the candidate's workplace performing real workplace tasks, where possible and provide alternatives where not possible.

3.1.3 Integration of relevant industry codes of practice and other relevant information into the assessment activity.

3.1.4 Alignment of industry job descriptions with realistic workplace scenarios and case studies.

3.1.5 Incorporation of regulatory information relating to licensing (where applicable to the unit of competency).

3.1.6 Tailoring the assessment to meet an organisation's goals without compromising the Training Package requirements.

3.1.7 Creating assessment activities which require the student to conduct specific research relating to industry situations and occurrences, where applicable.

3.1.8 Providing a simulated workplace within The RTO's facilities if not able to conduct in real environment.

3.2 When establishing the context for assessment, the transferability of the unit should not be affected. When the candidate is assessed as competent, they can transfer the applicable skills and knowledge between different workplaces and contexts.

4 REASONABLE ADJUSTMENT

4.1 The RTO provides equal opportunity to all candidates attempting their assessments and promotes inclusive practices to integrate the principles of access and equity into all assessment strategies.

4.2 Reasonable adjustment strategies ensure all students can participate in assessment activities equally. Reasonable adjustment does not give some students an advantage over others, change course standards or outcomes, or guarantee success. A reasonable adjustment in assessment activities needs to be justifiable and uphold the integrity of the unit of competency/ qualification.

4.2.1 **Examples of Reasonable Adjustment in assessment include:**

- Extend or modify timeframes for assessment.
- Extra reading/writing/performance time for completion. Where speed is an important component of the learning outcome, approval for extra time should be sought from the Lead Trainer/Assessor.
- Extend break times during an assessment task or workplace assessment.
- Use of a scribe for those requiring assistance when they have difficulty with writing.
- Use an Interpreter for students who are deaf or who have a hearing impairment.
- Allow adaptive technology equipment (for example digital audio and video recordings or files, speech recognition software, ergonomic furniture, etc).
- View video evidence of a student undertaking a task.
- Seek evidence from an independent party to demonstrate competence (Note: independent evidence is supplementary and should be used to support direct evidence gathered by the assessor).
- Ensure the language used in the formulation of assessment instruments does not create barriers (for example, plain, understandable English is to be used, suitably matched to the level of the learners).
- Questions in electronic format such as USB flash drive (where a candidate's internet connection is poor).
- Enlarged text would be required should there be visual impairment.
- Altered fonts on learning and assessment material (e.g. easier fonts to read for people with dyslexia).

5 RULES OF EVIDENCE

5.1 The Rules of Evidence are the basis for all decision making in assessment. Assessors consider the Rules of Evidence when identifying, gathering, and analysing evidence.

5.2 These Rules define 'quality' assessment evidence as:

5.2.1 Valid – that the learner has the skills, knowledge and attributes as described in the module or unit of competency and associated assessment requirements.

5.2.2 Sufficient – that the quality, quantity and relevance of the assessment evidence enables a judgement to be made of a learner's competency.

5.2.3 Authentic – that the evidence presented for assessment is the learner's own work.

5.2.4 Current – that the assessment evidence demonstrates current competency. This requires the assessment evidence to be from the present or the very recent past.

5.3 The aim is to gather evidence which meets all four of the above Rules.

6 TYPES OF ASSESSMENT EVIDENCE

6.1 Training and Assessment Strategies (TAS) outlines the types of assessment evidence required to assess each unit of competency. The types of assessment evidence are:

6.1.1 **Direct evidence** – this is where an assessor can see or hear the candidate 'do the work'.

Evidence that can be observed or witnessed by the assessor includes, but is not limited to:

- Observation of workplace performance;
- Oral questioning;
- Demonstration; and
- Challenge test.

6.1.2 **Indirect evidence –** an assessor can review work the candidate has completed.

Evidence of a candidate's work that can be reviewed or examined by the assessor includes, but is not limited to:

- Finished products.
- Written assessments or tests.
- A portfolio of previous work performed.

6.1.3 **Supplementary evidence –** this is where additional evidence presented to assessors to support a candidate's claim of competence. For example:

- Reports from supervisors, colleagues and/or clients.
- Testimonials from employers.
- Work diaries.
- Evidence of training.

6.1.4 **Employers and other parties contributing to assessment evidence**

Assessment evidence gathered from a candidate's workplace supervisor or employer supplements and confirms other direct/indirect forms of assessment evidence

gathered. Supplementary evidence is not to be used as primary evidence of a candidate's competence.

6.1.5 Engagement with Industry

Consultation with enterprises or industry provides information about assessment requirements relevant to workplaces. The RTO Course Advisory Committee's membership of industry representatives provides a reliable and objective opportunity to consult with industry. Regulatory requirements that relate to specific units of competency are incorporated to ensure students are assessed in the context of workplace duties.

7 DETERMINING AND RECORDING ASSESSMENT OUTCOMES

7.1 Assessments are marked by qualified Assessors using approved marking guides/benchmarks for marking.

7.2 Students are entitled to two (2) attempts for each assessment within the due dates for submission.

7.3 Where a student satisfies the requirements of an assessment task and is assessed as meeting the related criteria from the unit of competency, a result of **Satisfactory (S)** is recorded.

7.4 Where a **Satisfactory (S)** result is achieved for all assessment tasks associated with a unit of competency, the final result of **Competent (C)** is recorded for the unit.

7.5 Where a result does not meet the requirements of the assessment task and related criteria, a result of **Not Yet Satisfactory (NYS)** is recorded with feedback. Where appropriate the candidate is offered a second opportunity to gain a **Satisfactory (S)** result for the assessment task.

7.6 If the resubmission is still assessed as **NYS**, the student receives a final result of **NYS** for the assessment task and a final result of **Not Yet Competent (NYC)** for the unit.

7.7 Any further opportunities for assessment outside of this two-attempt model must be approved by The RTO Director.

8 RECOGNITION OF PRIOR LEARNING (RPL)

8.1 The RTO provides all students the opportunity to seek recognition of their prior learning. Recognition is another method of assessment and is therefore conducted in accordance within The RTO Assessment Policy and Procedure.

8.2 Assessment outcomes determined through RPL is recorded accordingly for the unit of competency where this applies. Only whole units of competency can be granted RPL.

8.3 Further information can be found the RTO Recognition of Prior Learning and Credit Transfer Procedure.

9 ASSESSMENT ONLY (AO)

9.1 Assessment Only (AO) is offered to students where they are unable to gather sufficient evidence to support an RPL application for a unit of competency. AO allows a student to by-pass the learning content and class attendance and attempt the assessment tasks for the unit. The student is assessed for AO suitability through a process of proving their prior knowledge and workplace experience. This is conducted through a verbal conversation by an Assessor and documented on the Assessment Only Application, in consultation with the Lead Trainer/Assessor.

9.2 Assessment outcomes is recorded as Satisfactory/ Not Yet Satisfactory and final Competent and Not Yet Competent outcomes for the unit. Only whole units can be granted AO.

9.3 Further information can be found in the RTO Recognition of Prior Learning and Credit Transfer Procedure.

10 CREDIT TRANSFER (CT)

10.1 The RTO recognises and grants credit transfer/s where:

10.1.1 An enrolled student presents a Statement of Attainment confirming a competent outcome for the unit of competence.

10.1.2 The issuing RTO confirms the student's completion and issuance of the unit of competency to the student.

10.2 Credit transfer is not an assessment. It is an administrative function that determines the equivalence of a unit of competency that the candidate has been previously awarded, to the unit of competency incorporated into courses being delivered by The RTO.

10.3 If the unit is the same or is equivalent, then the unit may be issued as a credit transfer.

10.4 Assessment outcomes determined through CT are recorded as such for the unit where this applies. Only whole units can be granted CT.

10.5 Further information can be found in the RTO Recognition of Prior Learning and Credit Transfer Procedure.

11 TRAINER AND ASSESSOR COMPETENCE

11.1 Trainers and Assessors are required to hold as a minimum:

11.1.1 The relevant Training and Education (TAE) qualifications as outlined in the Standards for RTOs 2015 or, if they do not meet this requirement, work under the direct supervision of a qualified trainer.

11.1.2 The vocational competencies at least to the Australian Qualifications Framework (AQF) level being assessed.

11.2 The RTO has systems in place to ensure that all staff members are appropriately qualified to meet our requirement under the Standards for Registered Training Organisations (2015).

Further information can be found within The RTO Trainer Management Policy and Procedure.

11.3 Where an assessor does not hold the required training and assessment competence, but is a subject matter expert The RTO puts appropriate supervision arrangements in place to support the gathering and judgement of assessment evidence. Further guidance on supporting these assessors can be found in The RTO Training Management Policy and Procedure.

12 ASSESSMENT TOOLS AND INSTRUMENTS

12.1 Assessment tools gather evidence about a candidate's competence. The RTO uses assessment tools which support the assessment of applicable units of competency in accordance with the requirements of industry Training Packages.

12.2 Assessment tools must be contextualised to reflect the needs of our clients or target industry group. The RTO uses tools for assessment that fit with the requirements of the target industry and enterprise requirements.

12.3 Some units of competency are associated with licensing requirements and, whilst this is not always stipulated in the unit, The Cllege RTO incorporates these additional requirements in the assessments.

12.4 The following are examples of Assessment Instruments which may be incorporated into an assessment strategy to meet the Training Package and industry requirements, the Rules of Evidence and the Principles of Assessment:

- Direct observation checklists with instructions for demonstration;
- Simulation exercises or role-plays;
- Projects;
- Case studies;
- Written and / or verbal questions;
- Presentations;
- Portfolios (for example, collections of work samples by the candidate);
- Products with supporting documentation;
- Journal/log book entries detailing the process of development;
- Workplace samples/products;
- Industry/workplace evidence reports.

12.5 Completed assessment tools are to be retained within the student record in accordance with The RTO Records Policy.

13 ASSESSMENT INFORMATION

13.1 Information about assessment is provided to both candidates and assessors to guide their conduct of the assessment and the completion of assessment activities.

13.2 Examples of assessment information can include:

13.2.1 Clear and complete instructions for the assessment activity.

13.2.2 The expected outcomes of the assessment.

13.2.3 Scenarios for role-plays and simulated assessment activities. It is important to note that the higher the AQF level, the greater the requirement to analyse and apply cognitive skills to produce workplace outcomes. Scenario information used to support assessment at a Diploma level, for example, should be relatively deep and complex to allow the candidate to exercise their analytical skills and produce viable workplace products and outcomes.

13.2.4 Industry information including documents such as codes of practice, policies and procedures, legislation and regulations. Whilst this may not be provided in hard copy to every candidate, they should be provided contacts, web sites or hyperlinks to access this information.

13.3 The RTO conducts assessments with clear assessment information to ensure reliable assessment.

14 RE-ASSESSMENT

14.1 Students who are assessed as **Not Yet Competent** are provided with detailed written feedback to assist them in identifying the gaps in their knowledge and skills. These gaps can be addressed through further training. Students are provided with additional training and learning support to target their specific gaps in knowledge and/or skills and prepare them for additional assessment.

14.2 It is the policy of The RTO to provide student with **two (2)** opportunities to submit assessments for each unit/cluster**.**

14.3 Students requiring additional training and re-assessment after they have exhausted their two (2) opportunities are required to re-enrol in a unit for training and re-assessment.

14.4 Students requiring additional learning support are brought to the attention of The RTO Director and/or Lead Trainer/Assessor to enable the progress of the student to be monitored closely, and additional support provided. Where students repeatedly do not demonstrate competence following significant learning and assessment support, a student's enrolment can be withdrawn.

14.5 **Assessment due dates**

Assessment due dates for each unit or cluster of units are provided to students in advance of the assessment activities, preferably in a schedule of assessments. These assessment due

dates are unique to each delivery of a course and correspond with dates set for each course in the Student Management System and in the Learner Management System.

14.6 **Assessment turnaround times**

Assessors are required to complete the assessment of written assessments within **14** days of the assessment being due. Where an Assessor is unlikely to be able to meet this benchmark, they must seek formal approval from the RTO Director to extend this time; and only after such approval is granted (documented, e.g. email exchange), students should be advised by email of the delay and revised assessment turnaround date.

14.7 **Failure to submit**

Students who fail to submit an assessment on the date it is due may be subject to penalty as follows:

- First attempt defaults to Not Yet Satisfactory (NYS) and automatically triggers a second attempt.
- Second attempt is provided to student.
- Third / final attempt unless a discretionary decision is made by the Director RTO to facilitate reasonable adjustment (this should be documented, e.g. email exchange between Lead Assessor/Director RTO)

15 ASSESSMENT PROCEDURE

15.1 The following procedure is to be applied for conducting assessments:

15.1.1 **Step 1: Prepare for assessment.** The assessor is to:

- Establish the context and purpose of the evidence to be collected.
- Identify and analyse the units, Training Package and assessment strategy to identify the evidence requirements.
- Review the assessment instruments/tool and confirm their currency and adequacy in meeting the Principles of Assessment and the Rules of Evidence.

15.1.2 **Step 2: Prepare the candidate.** The assessor informs the candidate to:

- Explain the context and purpose of the assessment and the assessment process.
- Explain the unit to be assessed and the evidence to be collected.
- Outline the assessment procedure and the preparation the candidate should undertake, and answer any questions.
- Assess the needs of the candidate and, where applicable, negotiate reasonable adjustment without compromising the competency outcomes.
- Seek feedback regarding the candidate's understanding of the units, evidence requirements and assessment process.

- Determine if the candidate is ready for assessment and, in consultation with the candidate, decide on the time and place of the assessment.

15.1.3 **Step 3: Plan and prepare the evidence-gathering process.** The assessor must:

- Plan to gather sufficient and quality evidence about the student's performance in order to make the assessment decision.
- Source or develop assessment materials to assist the evidence-gathering process.
- Organise equipment or resources required to support the evidence-gathering process.
- Coordinate and brief other personnel involved in the evidence-gathering process.

15.1.4 **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.
- Collect appropriate evidence and match compatibility to the elements, performance criteria, assessment requirements for the relevant unit.
- Evaluate evidence in terms of the four dimensions of competency – task skills, task management skills, contingency management skills and job/role environment skills.
- Incorporate reasonable adjustments to the assessment procedure without compromising the integrity of the competencies.
- Consult and work with other staff, assessment panel members or technical experts involved (where applicable) in the assessment process.
- Record details of evidence collected.
- Make a judgement about the candidate’s competence based on the evidence and the relevant unit(s).

15.1.5 **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 candidate with:

- Clear and constructive feedback on the assessment decision.
- 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 process where applicable.

15.1.6 **Step 6: Record and report the result.** The assessor must:

- Record the assessment outcome according to the policies and procedures of The RTO.

- Maintain records of the assessment procedure, evidence collected and the outcome.
- Maintain confidentiality of the assessment outcome.
- All completed assessments must be returned to the RTO office for processing within five (5) working days from the date the assessment was completed. Assessors must comply with this requirement to allow sufficient time for the results to be recorded into Student Management System and the certificate to be produced and dispatched to the student.
- Issuance of Statements of Attainments or Qualifications according to The RTO Qualifications and Statements Issuance Policy.

To comply with the requirement under the Standards for Registered Training Organisations (2015) certificates must be issued within 30 calendar days of the student being assessed as meeting the requirements of the training product.

All unit results must be entered into the Student Management System within 10 working days from the date the final assessment was completed (final determination).

Refer to the RTO Records and the RTO Qualifications and Statements Issuance Policies for further guidance in requirements.

15.1.7 **Step 7: Management of written assessment documents**

Protecting the security of assessment evidence is an essential part of maintaining integrity of the assessment process. After marking assessments, where students have submitted written /word-processed assessments in hard copy, Trainers/Assessors are required to return the marked assessments to The RTO office for secure storage/filing at the end of the teaching session. Where the Trainer/Assessor is operating from a site other than the RTO's office, the completed assessments **MUST** be:

(a) scan and email marked assessments to the Course Coordinator within 14 business days or where the time periods are governed by regulatory body; and

(b) send marked assessments by regular Australian Post service to

The College RTO
PO Box 224
Quakers Hill NSW 2763

15.1.8 **Step 8: Review the assessment process.** On **completion** of the assessment process, the Assessor must:

- Review the assessment process.
- Report on the features of the assessment to those responsible for the assessment procedures.
- If necessary, suggest to The RTO ways of improving the assessment procedures through raising a Continuous Improvement Report or by providing input to the next scheduled assessment validation.

15.1.9 **Step 9: Participate in the reassessment and appeals process**. The assessor must:

- Provide feedback and counselling to the candidate, if required, regarding the assessment outcome or process, including guidance on further options.
- Provide the candidate with information on the reassessment and appeals process.
- Report any assessment decision that is disputed by the candidate to the Leader Trainer/Assessor and/or The RTO Director.
- Participate in the reassessment or appeal according to the policies and procedures of The RTO.

16 DECISIONS, NOTIFICATION AND RECORD KEEPING

16.1 All assessment related documentation outcomes must be filed in the student file on Student Management System. Where appropriate, the student submits their assessments via the Learner Management System, and their submissions are graded in the usual manner by the course assessor.

The College

THE RTO ASSESSMENT PROCEDURE

STATUS AND DETAILS

Status	Draft			
Version	2			
Effective Date	11 August 2021			
Review Date	11 August 2024			
Approval Policy	The College Senior Management Team			
Governing Authority	Western Sydney University Enterprises Board			
Endorsed by	The RTO Committee			
Unit Responsible	The College Registered Training Organisation			
Enquiries Contact	The College RTO E: rto@westernsydney.edu.au			
Available On	SharePoint	☐	Website	☒
Parent Policy	The RTO Assessment Policy			
Procedure Code	PRO_ACA_002			
Procedure Category	Academic			
Related Documents, including Legislation/Policies/Procedures	The RTO Admissions Policy The RTO Complaints and Appeals Policy The RTO Complaints and Appeals Procedure The RTO Fees and Refund Policy The RTO Fees and Refund Procedure The RTO Recognition of Prior Learning and Credit Transfer Policy The RTO Recognition of Prior Learning and Credit Transfer Procedure The Standards RTO (2015)			

Summary of Changes from Previous Version

Changed to allow candidates 2 (two) attempts at their assessment tasks.