

PROCEDURE			
Ref. to legislative frameworks: SRTO 2015: Standard 1.8 – 1.12	Vocational Education and Training Assessments		
Version: 6.2	Approved by: Principal Executive Officer	Issued on: 31/08/2018 Review by: 31/08/2020	

Revision History

Current Version	Description of Change	Procedure Developer	Effective Date
6.2	Reassessment rules are reviewed.	PEO	31/08/2018

PURPOSE

This procedure outlines AAPoly's VET assessment practices and ensures that they are consistent with guidelines and policies issued through State and National Training Authorities and assessment criteria contained within the relevant National Training Packages.

POLICY STATEMENT

The intent of the Policy is to guide the design and writing of assessments for courses delivered by AAPoly. AAPoly is committed to ensuring that the assessments are valid, reliable, fair, equitable and transparent in assessment practices and procedures.

SCOPE

This procedure applies to VET programs, students and staff members of AAPoly in all teaching locations.

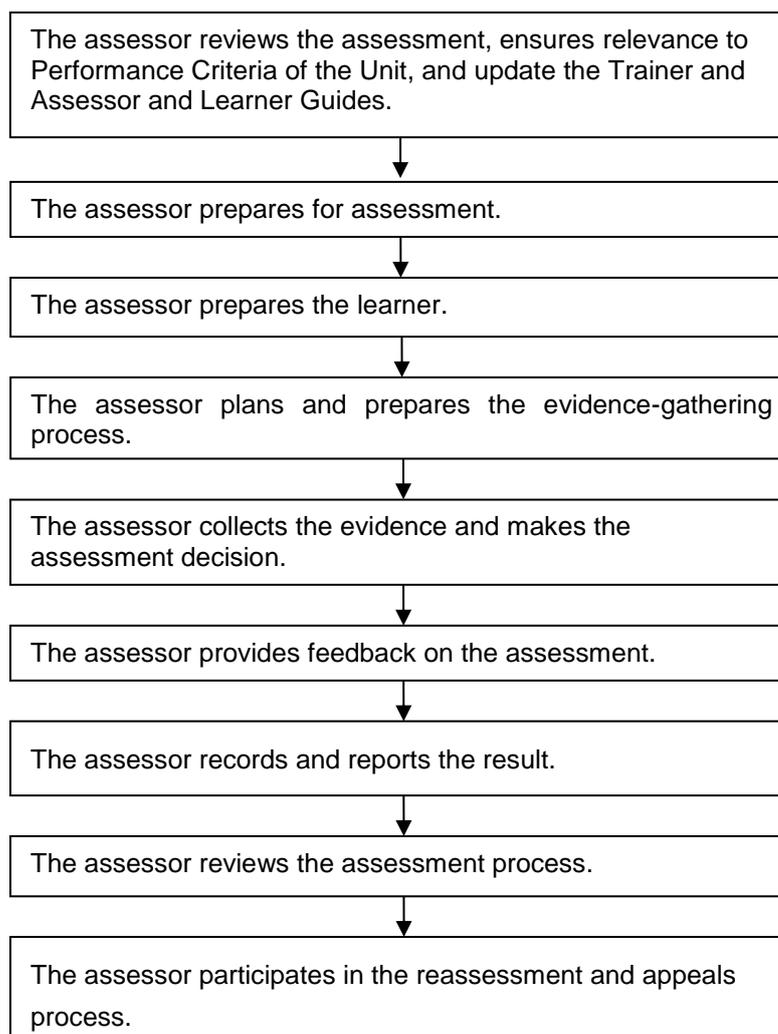
DEFINITIONS

Assessment	The process of collecting evidence and making judgments on whether competency has been achieved, to confirm that an individual can perform to the standard required in the workplace, as specified in a training package or VET accredited course.
Assessment Tool	Assessment components which include: the context and conditions for the assessment, the tasks to be administered to the learner, an outline of the evidence to be gathered from the learner and the evidence criteria used to judge the quality of performance (i.e. the assessment decision making rules). It also includes the administration, recording and reporting requirements.
Assessment System	Assessment system is a coordinated set of documented policies and procedures (including assessment materials and tools) that ensure assessments are consistent and are based on the Principles of Assessment and the Rules of Evidence.
Quality Assessment	Quality assessment is the collection and evaluation of evidence to ensure that a student's competency is assessed according to the 'rules of evidence'.
UoC	Unit of Competency
Special consideration	Consideration given to a student on compassionate or compelling circumstances generally beyond the control of the student and have the impact upon the student's course progress or wellbeing and can include critical incidents such as: <ul style="list-style-type: none">▪ Serious Illness or Injury

	<ul style="list-style-type: none"> ▪ Bereavement of close family members such as parents or grandparents ▪ Major political upheaval or natural disaster in the home country requiring emergency travel or ▪ Involvement in, witnessing or having a traumatic experience including witnessing or being the victim of a serious crime.
Equitable	An assessment is fair and impartial, with provision for reasonable adjustments to be made for students with special needs, who are disabled or face unforeseen circumstances.
Transparent	Prior to the conduct of assessments, the relevant students are made aware of the requirements, marking criteria and eligibility. Unambiguous review procedures are published, including the responsibilities of staff and students.

PROCEDURE

1. Process Flow Chart (Assessment)



2. Flowchart Details (Assessment)

- a. The assessor prepares for assessment.

The assessor is to:

- Establish the context and purpose of the evidence to be collected;
- Identify and analyse the units of competency, Training Package and AAPoly's assessment strategy to identify the evidence requirements; and
- Review the assessment tools and confirm their currency and adequacy in meeting the rules of evidence.
- Set and announce assessment and reassessment due dates in the learner guide for each task at the start of the delivery period.

- b. The assessor prepares the learner.

The assessor meets with the learner to:

- Explain the context and purpose of the assessment and the assessment process;
- Explain the units of competency to be assessed and the evidence to be collected;
- Outline the assessment procedure and the preparation the learner should undertake, and answer any questions;
- Assess the needs of the learner and, where applicable, negotiate reasonable adjustment for assessing people with disabilities without compromising the competency outcomes;
- Seek feedback regarding the learner's understanding of the units of competency, evidence requirements and assessment process; and
- Determine if the learner is ready for assessment and, in consultation with the learner, decide on the time and place of the assessment.
 - Where the learner did not attend the training sessions leading up to the assessment or the learner did not meet specific conditions of participation, the assessment may be deferred until a mutually agreed time and place for the assessment.

- c. The assessor plans and prepares the evidence-gathering process.

The assessor must:

- Establish a plan for gathering sufficient quality evidence about the learner's consistent 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; and
- Coordinate and brief other personnel involved in the evidence-gathering process.

- d. The assessor collects the evidence and makes 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, knowledge and performance requirements in the relevant units of competency;
- Incorporate allowable adjustments to the assessment procedure without compromising the integrity of the competencies;
- Evaluate the evidence in terms of validity, consistency, currency, authenticity and sufficiency.

e. The assessor provides feedback on the assessment.

The assessor must provide advice to the learner about the outcomes of the assessment process. This includes providing the learner 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; and
- Information on reassessment and the appeals process if applicable.

f. The assessor records and reports the result.

The assessor must:

- Record the assessment outcome according to the policies and procedures of AAPoly;
- Maintain records of the assessment procedure, evidence collected and the outcome according to the policies and procedures of AAPoly;
- Maintain the confidentiality of the assessment outcome.

g. The assessor reviews the assessment process.

On completion of the assessment process, the assessor must:

- Review the assessment process;
- Report on the positive and negative features of the assessment to those responsible for the assessment procedures; and
- If necessary, suggest to appropriate AAPoly personnel ways of improving the assessment procedures through raising a Continuous Improvement Report or by providing input to the next scheduled assessment validation.

h. The assessor participates in the reassessment and appeals process.

The assessor must:

- Provide feedback and counselling to the learner, if required, regarding the assessment outcome or process, including guidance on further options;
- Provide the learner with information on the reassessment and appeals process;
- Report any assessment decision that is disputed by the learner to appropriate Course Coordinator (CC) and Designated Head (DH) (VET); and
- Participate in the reassessment or appeal according to the policies and procedures of AAPoly.

3. Process Flow Chart (Reassessment)

3.1 Flow Chart Details (Reassessment)

3.1.1 Based on the feedback of the trainer/assessor on the submitted assessment, students are allowed to undertake the reassessment at no cost. Students will be given one week to submit any work approved for reassessment.

Conditions:

- Opportunity for reassessment is only available within the term student is enrolled to the subject.
- Reassessment is only allowed if student attempted or submitted the actual assessment.

3.1.2 Trainer/assessor organises reassessment for student who is deemed to be eligible for reassessment. The trainer/assessor will reconsider the work on the basis of assessment criteria described in clause 2d.

3.1.3 The reassessment outcome will be updated on Paradigm by trainer/assessor. Reassessments will be graded either C or NYC and Final Marks will be entered as 0 or 50 on Paradigm.

3.1.4 NO REASSESSMENTS are allowed once the results are finalised and published at the end of each term.

3.1.5 If the learner chooses not to attend the scheduled reassessment, they will forfeit any opportunity to undertake reassessments after this period.

3.1.6 If the learner has any units that are deemed Not Yet Competent (NYC) when the results are published, those units have to be repeated in the following term or when the units are next available. If the COE period is finished (for international students), learner must seek an extension to their COE to complete their course.

3.2 Assessment

3.2.1 AAPoly recognise that assessment is a core service offered to our students (learners) and is at the centre of our operation as a Registered Training Organisation. Quality assessment ensures that the skills and knowledge of learners are assessed using four principal determinants:

3.2.2 That assessment decisions are based on the assessment of skills and knowledge compared with units of competence drawn from industry Training Packages or State accredited courses.

3.2.3 That the target industry or enterprise requirements are contextualised and integrated within the assessment.

3.2.4 That evidence is gathered that meets the rules of evidence.

3.2.5 That assessment is conducted in accordance with the principles of assessment.

3.3 Principles of Assessment

In the delivery of assessment services, AAPoly applies the principles of assessment. Assessment strategies have been designed to ensure:

- 3.3.1 Validity** - We conduct assessment against the broad range of performance and knowledge identified within each unit of competence and which is integrated with their practical application.
- 3.3.2 Reliability** - We seek to gather and interpret evidence in a consistent manner that provides for reliable assessment both for the learner and for assessors. We achieve this by using assessors who have the required competencies in assessment and the relevant vocational competencies. Our assessment resources also provide for 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.
- 3.3.3 Flexibility** - We strive to provide assessment opportunities that reflect a learner's needs. Our chosen assessment strategies provide for recognition of a learner's current competence, employ a range of methods appropriate to the context of the industry, the competency and the learner.
- 3.3.4 Fairness** - Our assessment approach encourages fairness in assessment through consideration of the learner's needs and characteristics and through making reasonable adjustments when it is required. Assessors achieve this through clear communication with a learner to ensure that the learner is fully informed about, understands and is able to participate in, the assessment process, and agrees that the process is appropriate.

3.4 Benchmarks for assessment

- 3.4.1** AAPoly uses units of competence drawn from nationally endorsed industry Training Packages as our primary benchmark for assessment. Supporting this are industry standards or codes of practice. These and other industry specific publications inform the context and standard of performance during assessment.
- 3.4.2** In order to identify the precise assessment criteria, we apply a methodology of unpacking a unit of competence in order to assess the full scope of the unit including elements of competence and performance criteria, incorporating range statement information and the specific requirements of the evidence guide. This process ensures that our assessment strategies accurately reflect the requirements of the relevant training package.

3.5 Engagement with industry

- 3.5.1** AAPoly is well placed to leverage off current industry associations to incorporate industry requirements into the assessment process. Consultation with enterprises or industry will provide information about assessment requirements relevant to workplaces. Regulatory requirements that relate to specific units of competence will be incorporated to ensure our students are well prepared for their

workplace duties. Further information on industry engagement can be found in the Industry Consultation Policy and Procedure.

3.6 Collecting evidence that counts – the rules of evidence

- 3.6.1** In collecting evidence, AAPoly applies the rules of evidence to inform the assessment strategy. Assessment strategies have been designed to ensure:
- 3.6.2 Sufficiency** - We prioritise the collection of enough appropriate evidence to ensure that all aspects of competency have been satisfied and that competency can be demonstrated repeatedly.
- 3.6.3 Validity** - We collect evidence that is specified in the benchmarks for assessment e.g. industry evidence and detailed assessment of underpinning knowledge.
- 3.6.4 Authenticity** - We seek evidence that is authentic. To support this, assessors must be assured that the evidence presented for assessment is the learner's own work. Where documentary evidence is relied on it must be certified or supported by two other forms of evidence which demonstrate the same skill or knowledge (triangulation). In all instances, where work is submitted external to AAPoly (i.e.; electronically, distance assignments, online) this is to include a signed statement by the learner that they certify the work as their own.
- 3.6.5 Currency** - We must be satisfied that the learner currently holds the skills and knowledge relating to a particular assessment. This will mostly relate to recognition applications where a learner has been in the workplace for many years and is seeking recognition of skills and knowledge obtained through workplace experience or previous training. We will apply assessment strategies which satisfy currency through the gathering of direct evidence in the workplace.

3.7 Assessment context

- 3.7.1** AAPoly recognises the importance of establishing the right context for learners during their assessment. Assessment context refers to the physical and non-physical environment in which performance and knowledge are assessed. This may be a workplace such as an office setting or a manufacturing workshop. The non-physical environment refers to things such as workplace policy and procedure, workplace tempo and culture. Many units of competence may be applied in any workplace such as skills and knowledge relating to workplace safety or leadership.
- 3.7.2** It is our responsibility to ensure that learners are provided with the right context to undertake their assessment activities. To achieve this, we will apply the following strategies:
- Incorporation of the learner's own workplace policies and procedures into the assessment scenario or activity.
 - Conduct of the assessment in the learner's workplace performing real workplace tasks.

- Integration of relevant industry codes of practice and other industry information into the assessment activity.
- Incorporation of industry job descriptions for students to align with during realistic simulated workplace scenarios and case studies.
- Incorporation of regulatory information relating to licensing which applies to some qualifications.
- Tailoring the program outcomes to meet the organisational training needs of the enterprise without compromising the Training Package requirements.
- Creating assessment activities which require student to conduct specific research relating to industry situations and occurrences.
- Provide a realistic simulated workplace within AAPoly facilities.

3.8 Recognition of prior learning

In accordance with the requirements of the Standards for Registered Training Organisations (RTOs) 2015, AAPoly provides the opportunity for students to apply to have prior learning recognised toward a qualification or units of competence for which they are enrolled. For more information, refer to AAPoly's Academic Credit Transfer and RPL Policy and Procedure.

3.9 Competence of assessors

3.9.1 In accordance with the Standards for Registered Training Organisations (RTOs) 2015, assessors are required to hold the minimum competencies for assessment as outlined by the National Quality Council and the vocational competencies at least to the level being assessed.

3.9.2 AAPoly has appropriate systems in place to ensure that all staff members are appropriately qualified to meet our requirement under the Standards for Registered Training Organisations (RTOs) 2015.

3.10 Assessment validation

Assessment validation is the process where assessors compare and evaluate their assessment methods, assessment procedures and assessment decisions. AAPoly will facilitate regular assessment validation opportunities to maintain a quality assessment and to continuously improve assessment strategies.

3.11 Assessment tools

3.11.1 Assessment tools are the media (electronic or hard copy) used to gather evidence about a learner's competence. We have developed assessment tools which support the assessment of applicable units of competence in accordance with the requirements of industry Training Packages.

3.11.2 It is important for AAPoly staff members to acknowledge that these are generic tools which provide us with a starting point for the development

of other supporting tools which will reflect the needs of our clients or target industry group.

3.11.3 Staff members must be satisfied that tools developed for assessment fit with the requirements of the target industry and enterprise requirements. Some units of competence are associated with licensing requirements and whilst this is not always stipulated in the unit of competence, we will need to be informed of the additional requirements this imposes during assessment.

3.11.4 The following are examples of assessment tools 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 checklist;
- Simulation exercises or role-plays;
- Project outlines and explanation sheets;
- Workplace templates;
- Written questionnaires;
- Verbal questionnaires;
- Portfolios, for example collections of work samples by the learner;
- Product with supporting documentation or journal/log book;
- Workplace samples/products; and
- Industry/workplace evidence reports.

3.11.5 This list of assessment tools (above) identifies only a small number of assessment tools which are in use in the VET sector today. These are however the more common tools and support holistic assessment methods favoured by AAPoly. Those not available within this section are to be developed by the assessors according the identified assessment strategy.

3.12 Assessment information

3.12.1 Assessment information is the information provided to both learners and assessors to guide their conduct of the assessment and the completion of assessment activities. This information is used to draw out a response from a learner.

Examples of assessment information include:

- Instructions to set the framework for the activity such as who, what, where, when and how.
- The expected outcomes refer to the 'what' and it is critical that from reading the assessment information, the required (expected) outcome is straight forward and in line with the learner's preparation during learning or through other competency development pathways.
- Scenario information includes information that sets the context for a simulated assessment activity. This may be a simple case study or a deep scenario which requires analysis and interpretation. It is important to note that the higher the AQF qualification 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 learner to exercise their analytical skills and produce viable workplace products and outcomes.

- Industry information includes items such as codes of practice, policies and procedures, legislation and regulations. Whilst this may not be provided in hard copy to every learner, they should be provided contacts, web sites or hyperlinks to access this information. Electronic copies of industry information are also acceptable.

3.12.2 The assessment activities are to be supported by clear assessment information that will ensure a reliable assessment across our operation. Ultimately, the quality of assessment outcomes produced by a learner will be directly affected by the quality of the information provided at the commencement of the activity. Staff are to prepare suitable assessment information for all assessment activities and are to gain approval from the DH (VET) for the use of assessment resources.

3.13 Collecting industry evidence

3.13.1 This evidence is usually very current and valid and contributes to the assessment decisions made by a qualified assessor. We do not however advocate the use of industry evidence as a substitute for the gathering of direct evidence by an assessor. Industry evidence is only to be used to complement and support the evidence being gathered by an assessor.

3.13.2 In addition to this, during the development of assessment tools, assessors are to ensure that the observation criteria used within industry evidence reports is wholly task-orientated. These observation criteria should reflect the tasks that the supervisor would issue to an employee and monitor during normal workplace duties. The industry evidence report is not to contain assessment criteria drawn from an industry Training Package as these assessment criteria are suitable only for trained and qualified assessors.

3.14 Academic misconduct

3.14.1 Students who do not attempt an assessment will receive a zero mark and in the case of competency-based assessment, not to complete the competencies that assessment was assessing.

3.14.2 Students who do not follow the directions of an assessor or supervisor may be guilty of academic misconduct and face severe penalties including failing a subject and, in very serious cases, expulsion.

3.14.3 Students who submit work which is not original or not properly referenced, may be guilty of academic misconduct and face severe penalties according to AAPoly's Academic Misconduct Policy.

3.15 Failure to attempt an assessment

3.15.1 Students who do not attempt an assessment without a valid reason will receive a zero mark and not complete the competencies that assessment was assessing.

3.15.2 However, AAPoly understands that there may be valid reasons why a student did not attempt an assessment. Students may apply for an alternative assessment or special consideration if, because of illness or other circumstances (not work-related) beyond their control, they:

- miss a formal assessment;
- attend an assessment but are forced to leave before the allocated time has expired;
- finish an assessment, but believe that their performance was affected; and
- have difficulty in completing an assessment.

3.15.3 To be considered, the students must:

- inform AAPoly as soon as is practicable and no later than three working days after the assessment; or
- inform the supervisor at the time, if they attempted any part of the assessment; and provide external independent evidence of the illness or misadventure in the form of a doctor's certificate from a registered medical practitioner or a Police Report or any other documentation that will support their application.
- using the Special Consideration process and form.

3.16 Assessment and grading

In addition to performance in assessments, other factors taken into consideration include class participation and a positive attitude demonstrated by a sense of cooperation, tact, enthusiasm and flexibility, all of which are encouraged by AAPoly.

3.17 Competency Based Assessment

3.17.1 Each assessment component is recorded as either Competent (C) or Not Yet Competent (NYC). A student can only achieve competence when all assessment components listed under Purpose of the assessment section are Competent. Trainer will provide student with feedback after the completion of each assessment. A student who is assessed as NYC (Not Yet Competent) may be eligible for reassessment.

3.17.2 If a student has not attempted one of the assessments or did not achieve any score in one of the assessments, student will be deemed as Not Yet Competent (NYC) even if the overall mark is more than 50%.

3.17.3 Once the student has been deemed competent, the student will also be given one of the following grades for their performance:

Grade	Description
HD	High Distinction, mark range 85-100
D	Distinction, mark range 75-84
C	Credit, mark range 65-74
P	Pass, mark range 50-64

3.18 Late assessment submission

- 3.18.1** Results for late assessment submissions will be reduced by 10% of the awarded marks per day.
- 3.18.2** Assessment will not be accepted after two calendar weeks from due date (including weekends).
- 3.18.3** No assessment will be accepted after the end of term. After the end of term, the student will be deemed to have failed the subject.
- 3.18.4** Students who have compelling reasons for late submission should apply for Special Consideration.
- 3.18.5** Under Special Consideration, late assessment submission can be granted for a maximum of one calendar week.

3.19 Re-enrolment

Students are allowed to re-enrol two times upon failing a unit (i.e. 3 attempts per unit). Students who failed a unit three times or more will be considered as making unsatisfactory course progress and will be managed according to the Monitoring Student Progress Policy and Procedure.

3.20 Deferred assessment

The CC will have the discretion to accept or reject an application for Special Consideration for a deferred assessment. Special Consideration for a deferred assessment will be considered the following ground:

- The student has been affected substantially by illness or other extenuating causes that prevented the student from preparing for all or part of a component of assessment.

3.21 Reassessment

3.21.1 It is inevitable that some students will not meet the requirements of the assessment evidence and will be judged as Not Yet Competent as the outcome of the assessment. AAPoly's approach to these situations is to work with the student in order to address deficiencies and to build their skill and knowledge in preparation for reassessment. As set out in Section 3.1, reassessments have to be undertaken and completed within the scheduled training plan (term) and may be completed under alternative assessment arrangements agreed between the student and the assessor.

3.21.2 As a general guide, assessors are to make alternative arrangements to provide opportunities for reassessment within the constraints of available time and resources. In all circumstances, the reassessment is to be a planned activity that is conducted in accordance with the assessment procedure. In

some cases, after alternative arrangements have been exhausted, it will be suitable to find a student as Not Yet Competent and record this result with their statement of attainment.

3.21.3 There are no extensions to deadlines for any reassessments.

3.21.4 Reassessment results will be issued formally via LMS Moodle <http://lms.aapoly.edu.net.au/>. Students may also be informed of their final results by the Assessor on the day of the reassessment(s).

3.21.5 All reassessments are to be finalised and final results must be published by the end of Week 10.

3.21.6 There will be no further reassessment after the end of the term.

3.21.7 Final Unit Rule – if a student has only one unit deemed NYC to complete the qualification, the student is eligible for one final supplementary reassessment based upon the Final Unit Rule, to allow the student to complete the course. The student must apply for the Final Unit Rule via a Special Consideration Form, to be approved by the Faculty Head.

3.22 Appeals against assessment decisions and outcomes

Refer to AAPoly's Complaints/Appeals Policy and Procedure for further details.

RESPONSIBILITIES

- a) Assessor – Prepares for assessment following the principles of assessment (validity, reliability, flexibility and fairness) and plans and prepares the evidence-gathering process. Collects the evidence following the rules of evidence (sufficiency, validity, authenticity and currency) and makes the assessment decision. Provides feedback on the assessment and records and reports the results. Reviews the assessment process and participates in the reassessment and appeals process.
- b) The Principal Executive Officer is responsible for developing and overseeing the implementation of the policy, monitoring the assessment practices and evaluating the effectiveness of the policy and procedure.
- c) The Designated Head of VET Department is responsible for incorporating the requirements into their respective department's teaching-learning plans or training-assessment strategies. He/she is also responsible for communicating the policy to all their academic team members responsible for the teaching, design, and development of all learning assessments.
- d) The Designated Head of Student Services and relevant team members must ensure that the conduct of examinations is consistent with this procedure.
- e) Students have the responsibility to submit assessment/learning tasks on the dates published in advance.

FEEDBACK

Any queries, feedback or concern about this policy should be emailed to the Principal Executive Officer at suggestionstotheceo@aapoly.edu.au. The PEO will respond within two (2) business days, unless an immediate action is required. The outcomes will be recorded and utilised in continuous improvement measures at AAPoly.

REFERENCES

Source	Document Title	Version/Date
Internal	Vocational Education and Training Assessments Policy	v6.2 31082018
External	Standards for Registered Training Organisations	2015