

# Assessment Policy

## 1. Purpose

Assessment is central to the vision, mission, culture, activities, practices and future development of Ultimate Institute of Australia (UIA). The purpose of this policy is to:

1. identify and describe principles underpinning the approach to assessment adopted by UIA;
2. inform and guide the design and implementation of VET assessment at UIA to ensure full compliance with the requirements of Training Packages for all qualifications that UIA has on its scope;
3. encourage UIA staff, students and other stakeholders to reflect on contemporary assessment practices to better meet the diverse needs of the broad range of students; and
4. provide a clear framework for making VET program design decisions in relation to assessment across UIA.

## 2. Scope

The policy applies to assessment of students of UIA in all qualifications and units of competency offered by UIA.

## 3. Responsibility

- Chief Executive Officer (CEO) is responsible for the administration support for the maintenance of this policy.
- RTO Manager is responsible for the operational implementation of this policy.

## 4. Definitions

**Australian Qualifications Framework (AQF):** The framework for regulated qualifications in the Australian education and training system.

**AQF certification documentation:** The set of official documents that confirms that a qualification has been completed and awarded to an individual.

**AQF qualification:** The result of an accredited complete program of learning that leads to formal certification that a graduate has achieved learning outcomes as described in the AQF.

**Assessment:** The process of collecting evidence and making judgements 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 program and is conducted in accordance with the principles of assessment and the rules of evidence.

**Assessment system:** A coordinated set of documented policies and procedures (including assessment materials and tools) designed and implemented to ensure that assessment of students conforms to assessment policy and procedures.

**Assessment requirements:** The endorsed component of a Training Package that underpin assessment and sets out the industry's approach to valid, reliable, flexible and fair assessment.

**Assessment tools:** The following components: the context and conditions of assessment; tasks to be administered to the student; an outline of the evidence to be gathered from the candidate; and evidence criteria used to judge the quality of performance (i.e. the assessment decision-making rules).

**Assessment appeals:** The process whereby a student may appeal the assessment outcome on the following grounds:

- the unit/course outline was not explicit i.e. it did not detail how many assessment tasks were required to be undertaken; how students will be assessed; and/or when they will be assessed;
- the assessor did not fairly and appropriately apply the assessment criteria as specified in the unit/course outline; or
- the assessor did not conduct assessment tasks as described in the unit/course outline.

For further information refer to the Assessment Appeals Policy.

**Assessors:** A qualified assessor is a person who has the competencies required under the Standards for Registered Training Organisations (SRTOs) 2015 and relevant Training Package or curriculum qualification who assess a student's competence. For further information refer to SROs 2015 Standard 1 Clauses 1.13 – 1.16

**Cheating:** The intention to gain an unfair advantage in the assessment of a unit. This may include (but is not limited to):

- a. fabrication of data and/or results;
- b. colluding with others;
- c. allowing another person to complete an assessment on behalf of a student;
- d. accessing an advanced copy of a test/assessment paper;
- e. copying from others in an assessment;
- f. bringing into an assessment unauthorised material or information;
- g. knowingly helping others to cheat; and/or
- h. taking actions which intrude on the ability of others to complete their assessable tasks.

**Competency:** 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.

**Credit transfer:** Institutional recognition of any unit of competency or module a student has successfully completed at any other Registered Training Organisation (RTO). Credit transfer is a process that provides students with agreed and consistent credit outcomes based on identified equivalence in content and learning outcomes between matched qualifications. For further information refer to the Credit Transfer Procedure.

**Current industry skills:** The knowledge, skills and experience required by VET trainers and assessors and those who provide training and assessment under supervision in accordance with the SRTOs 2015 to ensure that their training and assessment is based on current industry practices and meets the needs of industry.

Current industry skills may be informed by consultations with industry and may include, but are not limited to:

- a. having knowledge of and/or experience using the latest techniques and processes;
- b. possessing a high level of product knowledge
- c. understanding and knowledge of legislation relevant to the industry and to employment and workplaces;
- d. being customer/client-oriented;
- e. possessing formal industry and training qualifications; and
- f. training content that reflects current industry practice.

**DMS:** Document management system. UIA uses Microsoft OneDrive.

**Independent validation:** Is validation that is carried out by a validator or validators who:

- a. are not employed or subcontracted by the RTO to provide training and assessment; and
- b. have no other involvement or interest in the operations of the RTO.

**Industry engagement:** May include, but is not limited to, strategies such as:

- a. partnering with local employers, regional/national businesses, relevant industry bodies and/or enterprise RTOs;
- b. involving employer nominees in industry advisory committees and/or reference groups;
- c. embedding staff within enterprises;
- d. networking in an ongoing way with industry networks, peak bodies and/or employers;
- e. developing networks of relevant employers and industry representatives to participate in assessment validation; and
- f. exchanging knowledge, staff, and/or resources with employers, networks and industry bodies.

**Industry relevance:** When students, employers and industry have confidence in the integrity, currency and value of certification documents issued by UIA. UIA documents and maintains current evidence of industry engagement activities. This is demonstrated through a range of strategies of industry engagement and the systematic implementation of the outcomes of that engagement to ensure relevance of the TASs, practices and resources, and the current industry skills of trainers and assessors.

**Licensed or regulated outcome:** Compliance with an eligibility requirement for an occupational license or a legislative requirement to hold a particular training product in order to carry out an activity.

**Mode of delivery:** The method adopted to deliver training and assessment, including face-to-face, online, distance, or blended methods.

**Moderation of assessment:** The process of bringing assessment judgements and standards into alignment. It is a process that ensures the same standards are applied to all student assessment results within the same units.

**Official publication of results:** Refers to when students' ratified results are entered into the SMS and published. Please refer to the Ratification of Results Section definition for further information.

**Plagiarism:** The presentation of the works of another person/other persons as though they are one's own by failing to properly acknowledge that persons/those persons. Proper acknowledgement means to clearly identify which parts of a work originate from which source.

**Professional development:** Activities that develop and/or maintain an individual's skills, knowledge, expertise and other characteristics as a trainer or assessor. This includes both formal and informal activities that encompass vocational competencies, currency of industry skills and knowledge and practice of vocational training, learning and assessment, including competency-based training and assessment. At UIA Trainers/Assessors are required to attend weekly meetings, provide professional development evidence for both VET and industry skills currency; attend professional development workshops organised by ASQA, VDC and VELG as directed and/or self-planned. Details of professional development for each trainer/assessment will be recorded in their Professional Development Log, maintained in their file.

**Ratification of results:** Refers to the processes used by UIA to approve student results. The process is managed by the CEO to moderate a statistically valid random sample of student assessment results to enable confidence that the result is sufficiently accurate to representative of the total population of assessments being ratified.

**RPL:** Recognition of Prior Learning. An assessment process that assesses an individual's 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. Refer to Recognition Policy and Procedures.

**RTO Manager:** The person responsible for the management and leadership of deliver of training and assessment services by the UIA training team.

**Special consideration/reasonable adjustments:** The making of alternative arrangements for the assessment of students in circumstances such as those who are unwell or experience hardship. As required under the principles of assessment fairness, reasonable adjustments are applied by UIA to take into account the individual student's needs. Reasonable adjustments are the variations to the conditions of assessments used by UIA to facilitate the assessment process for students that have learning difficulties. All reasonable adjustments are discussed and agreed upon prior to the assessments and are recorded in the Pre-Training Review (PTR) and/or Language, Literacy and Numeracy (LLN) test results as recommendations that support student learning needs and assessment tools as part of assessment conditions.

**Statement of attainment:** A statement of attainment recognises that one or more accredited units has been achieved.

**Student:** A person being trained and/or assessed by the UIA for the purpose of issuing AQF certification documentation.

**SMS:** Student Management System. UIA uses Axcelerate.

**Summative assessment:** The process for progressively collecting evidence that a student is competent as per the assessment requirements, essential knowledge, skills, critical aspects and learning outcomes/elements of a unit. To do this at UIA students usually undertake 3 assessment tasks (each adhering to the rules of evidence including the principles of validity, fairness, reliability, currency and authenticity). Trainer/Assessor makes a competency judgment 'Competent (C)' or 'Not Yet Competent (NYC)' based on the evidence collected for all 3 assessment tasks. Each assessment task is assessed as 'Satisfactory (S)' or 'Not Satisfactory (NS)'. Each assessment task requires 100% correct responses.

**TAS:** Training and Assessment strategy. The approach of, and method adapted by UIA with respect to training and assessment designed to enable students to meet the requirements of the training package and accredited course. They include the amount of training provided, which will be consistent with the requirements of Training Packages and VET accredited courses and the assessment practices that enable each student to meet the requirements for each unit of competency or module in which they are enrolled.

**Training package:** Refers to a set of qualifications for a defined industry, occupational area or enterprise endorsed by the Industry and Skills Council or its delegate in accordance with the Standards for Training Packages. The endorsed components of a Training Package are: units of competency; assessment requirements (associated with each unit of competency); qualifications; and credit arrangements.

**Unit of competency:** The unit of learning in a VET qualification and includes including assessment requirements and the specification of the standards of performance required in the workplace as defined in a Training Package.

**Validation:** The quality review of the assessment process. At UIA validation involves checking that the assessment tool/s produce/s valid, reliable, sufficient, current and authentic evidence to enable reasonable judgements to be made as to whether the requirements of the training package or VET accredited course are met. It includes reviewing a statistically valid sample of the assessments and making recommendations for future improvements to the assessment tool, processes and/or outcomes of acting upon such recommendations. UIA has a systematic approach to the Validation

process, including validation schedules, industry records of validation sessions. For further information refer to Validation Policy and Procedures.

**Vocational competencies:** As applied to trainers means broad industry knowledge and experience usually combined with a relevant industry qualification. Vocational Competency is determined on an industry-by-industry basis and with reference to the relevant Training Package or VET accredited program. At UIA we verify Certificate IV in TAE (i.e. TAE40110/TAE40116) qualifications and undertake industry reference checking to ensure vocational competencies of Trainers/Assessor meet industry requirements.

## 5. Policy Statement

### Assessment Principles

UIA implements an assessment system that ensures that VET assessment (including RPL) complies with the assessment requirements of the relevant training package or VET accredited programs conducted in accordance with the Principles of Assessment and the Rules of Evidence contained in the table listed below.

#### Principles of Assessment

Principle	Definition
Fairness	The individual student's needs are considered in the assessment process. Where appropriate, reasonable adjustments are applied by RTO to take into account the individual student's needs. RTO informs the student about the assessment process, and provides the student with the opportunity to challenge the result of the assessment and be reassessed if necessary.
Flexibility	Assessment is flexible to the individual student by: <ul style="list-style-type: none"> <li>reflecting the student's needs</li> <li>assessing competencies held by the student no matter how or where they have been acquired</li> <li>drawing from a range of assessment methods and using those that are appropriate to the context, the unit of competency and associated assessment requirements, and the individual.</li> </ul>
Validity	Any assessment decision of the RTO is justified, based on the evidence of performance of the individual student. Validity requires: <ul style="list-style-type: none"> <li>assessment against the unit/s of competency and the associated assessment requirements covers the broad range of skills and knowledge that are essential to competent performance</li> <li>assessment of knowledge and skills is integrated with their practical application</li> <li>assessment to be based on evidence that demonstrates that a student could demonstrate these skills and knowledge in other similar situations</li> <li>judgement of competence is based on evidence of student performance that is aligned to the unit/s of competency and associated assessment requirements.</li> </ul>
Reliability	Evidence presented for assessment is consistently interpreted and assessment results are comparable irrespective of the assessor conducting the assessment.

#### Rules of Evidence

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

Rule	Definition
Sufficiency	The assessor is assured that the quality, quantity and relevance of the assessment evidence enables a judgement to be made of a student's competency.
Authenticity	The assessor is assured that the evidence presented for assessment is the student's own work.
Currency	The assessor is assured that the assessment evidence demonstrates current competency. This requires the assessment evidence to be from the present or the

## 6. Implementation and Communication

The policy will be implemented and communicated via:

- SMS and DMS recording;
- an announcement notice via staff email;
- trainers' and staff meeting;
- trainer/assessor and staff induction program;
- one-on-one RTO Manager and trainer/assessor meetings;
- information sessions;
- UIA website updates;
- course evaluation processes;
- annual professional development including assessment activities and workshops; and
- updates to the staff policies and procedures handbook available to all UIA staff.

## 7. Records Management

### Forms/Record Keeping

Document Title	Location	Responsible Officer	Minimum Retention Period
Credit transfer	Physical: Student file Electronic: SMS	Manager, Student Administration	Physical: store in the student file and retain for 6 months after completion of the course. Electronic: retain results on the SMS for 30 years after completion of the course.
Records of industry consultation	Physical: Industry consultation folder Electronic: DMS	RTO Manager	Destroy 2 years after last date of action.
All completed student assessment items (the actual piece(s) of work completed by a student or evidence of that work, including evidence collected for an RPL process. An assessor's completed marking guide, criteria, and observation checklist for each student may be sufficient where	Electronic: assessment results are on the SMS Physical: completed assessments	RTO Manager	Physical: store in the student file and retain for 6 months from the date on which the judgement of competence for the student was made.

Document Title	Location	Responsible Officer	Minimum Retention Period
it is not possible to retain the student's actual work. However, the retained evidence must have enough detail to demonstrate the assessor's judgement of the student's performance against the standard required).	are kept in the filing cabinets		
Validation of assessment schedule and record log	Physical: Validation folder Electronic: DMS	RTO Manager	Destroy 2 years from date of last action.
VET assessment tools, which includes: <ul style="list-style-type: none"> <li>written assessment task</li> <li>a practical assessment task</li> <li>a unit record of assessment</li> <li>practical assessment task</li> <li>assessment content summary</li> <li>competency mapping matrix</li> <li>a project assessment task</li> </ul>	Physical: Assessments folders Electronic: DMS	RTO Manager	Destroy 2 years after last date of action.
Record of assessment	Physical: Student file Electronic: assessment results are on the SMS	RTO Manager	Physical: store in the student file and retain for 6 months from the date on which the judgement of competence for the student was made. Electronic: retain results on the SMS for 30 years after completion of the course.
Final assessment results	Physical: Student file Electronic: assessment results are on the SMS	RTO Manager	Physical: store in the student file and retain for 6 months from the date on which the judgement of competence for the student was made. Electronic: retain results on the SMS for 30 years after completion of the course.
Re-issue of statement of results	Electronic: SMS	RTO Manager	Electronic: retain on the SMS for 30 years after issuance.

Dispose of hard copy records as per disposal process in Records Management Policy.

## 8. Supporting Documents

- Assessment Procedure
- Trainer/Assessor Competency Mapping Form
- Qualification Training and Assessment Management Plan

- Records Management Policy
- Learning and Teaching Policy