Policy Overview:

The Instruction Company (TIC) will ensure that high-quality training and assessment practices are implemented so that students are equipped for employment and/or for further study. Additionally, TIC will ensure that the training and assessment practices lead to employers having confidence that graduates hold the skills and knowledge necessary to enter the relevant job market.

Objective:

This policy is designed to ensure that assessment within the organisation:

- Meets the needs of all students, clients, staff and stakeholders
- Provides clear guidelines for staff on assessment practices
- Meet the requirements outlined in the principles of assessment and rules of evidence
- Is undertaken by qualified trainers and assessors
- Meets the requirements of all training package and relevant regulatory bodies

Staff Responsible:

- Administration
- Compliance
- Operations
- Curriculum Developers
- Trainers and Assessors

Compliance Standards:

This policy relates to the following Standards for RTO's 2015: 1.1-1.4, 1.8-1.12, 1.13-1.16, 2.2.

Related Policies/Templates/Documents:

- All assessment instruments and tools
- Assessment templates
- SoF, TSB, Marketing Request Form
- F-021.6 TAS Template
- F-061.6 Trainer Matrix
- F-102.6 Appeals Form
- F-150.6 Code of Conduct Trainer and Assessor
- F-511.6 Professional Development Record and Approval Form
- F-514.6 Training Delivery Review Form
- P-003.6 Record Management and Maintenance Policy and Procedure
- P-006.6 Complaints and Appeals Policy and Procedure
- P-009.6 Industry Engagement Policy and Procedure
- P-018.6 Reasonable Adjustment Policy and Procedure
- P-029.6 Practical Placement Policy and Procedure
- P-048.6 Recognition Policy
- P-051.6 Validation Policy and Procedure
- P-061.6 Curriculum Development Policy and Procedure

- P-500.6 Trainer and Assessor Policy and Procedure

Definitions:

Assessment means the process for gathering quality evidence in order to make a decision whether the candidate can perform a task against the benchmark requirements within the workplace.

Assessment process is a series of key steps in the assessment cycle, including agreeing outcomes with stakeholders and students, design and development of measures, tools and instruments, use of tools, and evaluation of the results of assessment for the purpose of continuous improvement of the assessment process.

Assessor means a qualified person who has the competencies required under the Standards for RTOs and relevant Training Package or Curriculum Qualification and who assess a learner's competence.

Assessment tool is a term used that contains all the assessment instructions, scenarios, questions, instruments used in conducting assessment as a form of evidence.

Formative Assessment – assessment assists and supports training by monitoring and advising clients of their performance and rate of progress against the training outcomes. This provides feedback to the client, supervisor and trainer on what development activities are needed to achieve the required competencies. Generally observations, portfolios and projects are used as common formative assessments as these take place over a period of time and in conjunction with training.

Principles of Assessment from the Standards 2015 - Table 1.8-1: Principle of Assessment

- **Fairness** - The individual learner's needs are considered in the assessment process. Where appropriate, reasonable adjustments are applied by TIC to take into account the individual learner's needs.
  - TIC informs the learner about the assessment process, and provides the learner with the opportunity to challenge the result of the assessment and be reassessed if necessary.
- **Flexibility** - Assessment is flexible to the individual learner by:
  - reflecting the learner's needs;
  - assessing competencies held by the learner no matter how or where they have been acquired;
  - 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.
- **Validity** - Any assessment decision of TIC is justified, based on the evidence of performance of the individual learner.
  - Validity requires:
    - 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;
    - Assessment of knowledge and skills is integrated with their practical application;

- Assessment to be based on evidence that demonstrates that a learner could demonstrate these skills and knowledge in other similar situations; and
- A judgement of competence is based on evidence of learner performance that is aligned to the unit/s of competency and associated assessment requirements.

- **Reliability - Evidence presented for assessment is consistently interpreted and assessment results are comparable irrespective of the assessor conducting the assessment.**

Reasonable adjustment means a measure or action taken to assist a student who is disadvantaged in some manner to participate in education and training on the same basis as other students. Reasonable is to consider the needs of everyone involved which includes the student, other students, trainers and assessors, and TIC.

Rules of Evidence from the Standards for RTO’s 2015 - Table 1.8-2: Rules of Evidence .

- Validity - The assessor is assured that the learner has the skills, knowledge and attributes as described in the module or unit of competency and associated assessment requirements.
- Sufficiency - The assessor is assured that the quality, quantity and relevance of the assessment evidence enables a judgement to be made of a learner’s competency.
- Authenticity - The assessor is assured that the evidence presented for assessment is the learner’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 very recent past.

Summative Assessment is cumulative evaluation of achievement of the Training outcome. Often conducted in the workplace or a simulated workplace (depending on the qualification/unit of competency), summative assessment confirms achievement of the competency requirements have been met for the unit. Some examples of standard summative assessments are demonstrations, knowledge based tests and practical placements.

Training and Assessment Strategy (TAS) is documented framework to guide and structure assessment arrangements for a VET qualification.

Training Package - A training package is a set of nationally endorsed standards and qualifications for recognising and assessing people's skills in a specific industry, industry sector or enterprise.

Assessment Policy

1. Implementation, Monitoring and Evaluation of Training and Assessment Strategies

TIC will ensure that their Training and Assessment Strategies (TAS):

- Are consistently monitored to ensure ongoing compliance
- Are systematically evaluated and uses the outcomes of evaluations to continually improve TIC's training and assessment strategies and practices
- Are consistent with the requirements of the training package
- Including the appropriate amount of training
- Include information about the trainers and assessors who will deliver and assess each qualification
- Mode of delivery
- Number of units and/or modules being delivered as a proportion of the full qualification (where applicable)
- Educational support services to meet the needs of the learner cohort
- Learner resources to meet the requirements of the unit of competency
- Facilities and equipment to accommodate and support the number of learners undertaking the training and assessment
- Operations to use the training delivery review tool to evaluate how each trainer and assessor performs.

2. Assessment Development

It is the responsibility of Curriculum to ensure all assessments purchased, developed and/or contextualised are consistent with:

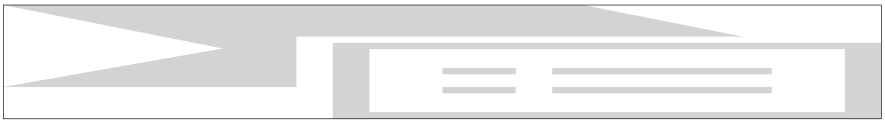
- Being designed in accordance with the P-061.6 Curriculum Development Policy and Procedure.
- The relevant Training and Assessment Strategy (TAS).
- Meeting the Rules of Evidence and Principles of Assessment.
- Addressing all training package and industry regulatory requirements.
- Being validated prior to implementation by an external consultant. Refer to P-051.6 Validation Policy and Procedure.

3. Conducting Assessment

It is the responsibility of TIC to ensure any formative and summative assessments are conducted for both assessment pathway and recognition of prior learning that:

- Is in accordance with the Training and Assessment Strategy
- Students are notified on the assessment process and readiness for assessment is confirmed in a timely manner
- Students are assessed by a qualified person who holds:
- The relevant Training and Education (TAE) competencies.
- Relevant vocational competencies at least to the level being delivered and assessed.
- Industry currency directly relevant to the assessment being undertaken.
- Continuous development of their VET knowledge and skills as well as their industry currency and competence as an assessor. Refer to P-500.6 Trainer and Assessor Policy and Procedure
- Third parties and Subject Matter Experts (SME) gathering workplace evidence must meet the requirements as outlined in the 1. Conducting Assessments procedure.
- Both pathways are performed following the rules of evidence and principles of assessment, and the 1. Conducting Assessments procedure.
- Is conducted following TIC's F-150.6 Code of Conduct Trainer and Assessor
- Ensures that the process for both pathways for collecting evidence is suitable, consistent, sufficient, current and valid to make a judgement of competent performance
- Is moderated by qualified assessors when required to ensure a valid and fair outcome
- Re-assessment to be conducted as per the reassessment instructions provided in section 2.1.15 of the 2. Assessments procedure.
- Any reasonable adjustments are documented and reported as per F-018.6 Reasonable Adjustment Policy and Procedure.
- Students are provided with feedback on the assessment outcome and provided with rights to appeal if required. Refer to P-006.6 Complaints and Appeals Policy and Procedure.

Assessment Procedures

1. Implementation, Monitoring and Evaluation of Training and Assessment Strategy and Practices		
Action / Task	**Responsible**	**Timeline**
Implementation of the Training and Assessment Strategy (TAS) and Practices The **F-021.6 TAS** is required to be completed for each qualification and course on our scope.	Operations Manager	At Course Development Stage
Monitoring & Evaluating Training and Assessment Strategies (TAS) ▪ For each qualification on the scope of registration, a 'Quality Goal' will be added to the Student Management System (aXcelerate) Quality Register: 	Compliance	Ongoing
▪ Then a 'Quality Task' will be added for each TAS to set a review date: 	Compliance	Ongoing
▪ All details contained in the TAS need to be reviewed against those details that are listed on the TGA website: https://training.gov.au/Home/Tga to ensure currency of each training product: 	Compliance	Ongoing and/or at a min. annually
▪ All details contained in the TAS include details as specified by the Regulator (ASQA) https://www.asqa.gov.au/standards/training-assessment/clauses-1.1-to-1.4-2.2 ▪ Ensure that the support services, resources, facilities and equipment are sufficient for the learner cohort and meet the requirements of the	Compliance	As part of the TAS request approval stage

relevant training package, both the qualification and each individual unit of competency. ▪ Once the **F-021.6 TAS, TSB, SoF Form** has been completed by all relevant parties and approved by Compliance, a TAS ID number and name is issued and allocated upon creating the TAS and recorded in the **R-905 TAS Register**.	Compliance	Once TAS has been approved
▪ Operations to use the **F-514.6 Training Delivery Review form** at least once as per their annual Trainer Performance Review.	Operations Manager	Min once annually

2. Assessment Development

Action / Task	Responsible	Timeline
Assessment Pathway ▪ Assessment must be conducted as per the Training and Assessment Strategy (TAS) and the student/assessor instructions outlined in the assessment tool. ▪ At **NO** time should a student, third party, employer, assessor or any other stakeholder involved be at risk of any WHS/OHS incident during the assessment.	Trainer and Assessor	During and after an assessment
▪ All assessors who conduct assessment must conduct assessments as: ▪ Outlined in this policy and procedure ▪ Have a current **F-061.6 Trainer Matrix** for each qualification they deliver ▪ Have signed a copy of the **F-150.6 Code of Conduct Trainer and Assessor**	Trainer and Assessor	Before Assessment
▪ All Trainers and Assessors must ensure they undertake the following preparations: **Understanding the assessment by:** ▪ Familiarising themselves with this procedure, the relevant units of competency, the relevant assessment tools, instruments within the assessment tools including assessment process/strategy and **P-018.6 Reasonable Adjustment Policy and Procedure**. ▪ Should the assessor have any questions they must address these with the Operations Manager who may forward to the Compliance Team via the general compliance email.	Trainer and Assessor Operations Managers	Before Assessment
Preparing the environment: ▪ Simulated environment must be a similar mock-up of the real work environment as per the instructions outlined in the assessment tool and relevant resource list. Should assessment be conducted in a workplace, preparations must take place such as: ▪ Informing relevant persons involved ▪ Informing relevant persons whom may be affected ▪ Undergoing a risk assessment to ensure a safe environment ▪ Arranging appropriate equipment and resources. **Preparing the student by:**	Trainer and Assessor	Before Assessment

▪ Ensuring all students are provided with the opportunity to agree on the assessment process in a timely manner and that they have a chance to notify their assessor should they not be ready to undertake any assessment tasks. Students must sign the front page of the assessment tool confirming and authenticating their readiness. ▪ Check that the student has completed any necessary pre-requisites if applicable as detailed in the Prerequisite unit(s) of competency table in the assessment tool. ▪ Assessors must explain the assessment task in detail and answer any questions posed by the student. ▪ Should reasonable adjustments be identified either prior to or at the commencement of the assessment, the Assessor must document these in the feedback section of the assessment tool. Refer to **P-018.6 Reasonable Adjustment Policy and Procedure**.	Trainer and Assessor Students	During and after an assessment
Access to assessments: ▪ Only those assessors assigned to the qualification and/or course are authorised to obtain current assessment tools and instruments ▪ Assessments must not leave TIC unless the assessor is required to undertake an observation at a work premises where an assessment is taking place. This includes grading assessments in an environment other than TIC. ▪ At no time is a student granted permission to view the assessors marking guide. ▪ The assessor must ensure that the marking guide is kept in a secured place.	Trainer and Assessor	During and after an assessment
Marking Guides: All assessors are provided with a marking guide for each assessment to ensure all assessment tasks meet the principles of assessment. This marking guide will outline information on: ▪ The context of the assessment ▪ The timing and sequence ▪ Assessment instructions ▪ Sample answers and/or examples of finished templates to ensure reliability among assessors ▪ Reasonable adjustments instructions **Support to Students:** The support offered to a student during an assessment is different to the support offered during training. Assessors must offer support in how the assessment is conducted such as: ▪ Flexibility and reasonable adjustment ▪ Clarify questions without leading into answers ▪ Clarify instructions ▪ Provide a non-threatening environment and nurture students who are anxious or intimidated ▪ Supervise and provide a safe environment	Trainer and Assessor	During Training and Assessment

▪ Providing feedback on progress and outcomes **Reasonable Adjustment** ▪ Due to individual needs and levels of LLN, students have the right for assessment to be adjusted to meet their needs as long as the inherent requirements of the assessment are not jeopardised. All assessors MUST document clearly the reason and type of reasonable adjustment in the assessment tool feedback section. Refer to **P-018.6 Reasonable Adjustment Policy and Procedure**. **Subject Matter Experts (SME) and Third Parties:** ▪ Third parties are a form of supplementary evidence which might contribute to the assessment. It must be noted that this form of evidence is not sufficient alone even if the third party is a qualified assessor. The third party report template which may be used as a form of evidence must contribute to the evidence gathered overtime during the assessment. Assessors must use this evidence to determine competent performance.	Trainer and Assessor	At Assessment
Submitted assessments: ▪ Trainers and Assessors must ensure all assessments are marked within two (2) weeks of submission and feedback provided to the student on the assessment. ▪ Submitted assessments must be kept in a secure and confidential place and must NOT leave TIC premises.	Trainer and Assessor	During Training and Assessment
Assessment Judgements: All assessment judgements must be based on the evidence submitted. Judgements must also be based on the rules of evidence - valid, authentic, current and sufficient. ▪ Who the co-assessor was ▪ What they moderated and when ▪ The outcome of the moderation	Trainer and Assessor Student	After Assessment Within 2 weeks of Submission

Feedback to students:
▪ All students are provided with both written and verbal feedback at the conclusion of each assessment task explaining the outcomes and areas for improvement (if required).
▪ When providing verbal feedback the assessor must ensure that the student is comfortable, and that feedback is a two way approach that is conducted in a private/suitable setting.
▪ When documenting feedback on the assessment instrument assessors must ensure:
    ▪ The feedback is legible
    ▪ The feedback is constructive and comprehensive providing guidance on overcoming gaps
    ▪ The feedback is based on the student's observable behaviour and evidence based - not opinions.
	Trainer and Assessor
	Student
		After Assessment
		Within 2 weeks of Submission

- The feedback section of the tool is signed and dated by the assessor.
Reassessment:
- Where a student has not met some of the assessment criteria an assessment action plan must be developed using the **Reassessment Action Plan** providing within the assessment tool for this purpose stating what criteria was not met, if training is required and when the reassessment will take place.
- Students have two (2) opportunities for reassessment. Should the student not achieve competency after these opportunities, the Assessor must inform the Operation Managers to discuss further action which may lead to:
  - The student withdrawing from the course
  - Retraining of the student (at the discretion of Operations with no extra fee)
  - Reassessing the student (at the discretion of Operations with no extra fee)
  - The student paying additional fees for retraining or reassessing.
	Trainer and Assessor
	Student
	Operations
		As required
		
		As required

Assessor requirements when completing tools. - All assessors must ensure that all mandatory signatures (assessor, student, third party etc.), dates, feedback, checkboxes that need to be checked, additional notes and outcomes are completed within the assessment tool. This includes where the student is required to sign sections of the tool to authenticate the assessment. **Dating the assessment:** The date included on the assessment must be the date that the assessment was marked and the outcome recorded.	Trainer and Assessor	When Completing Assessments for Submission to Admin for processing
Administration Requirements Administration staff must ensure that each assessment is reviewed to ensure that: - Assessor signatures are included in all mandatory areas - Assessor has dated the assessment correctly (the date the assessment was marked and signed off). Administration must ensure that dates correspond with training and do not contradict. - Student has signed and dated all mandatory areas. - Feedback and comments are provided at the end of each assessment task and at the front of the assessment tool and that the feedback is legible, constructive, valid and comprehensive. - Reasonable adjustment notes if applicable are recorded in the feedback section for each assessment task where they have been applied. - Reassessment action plan has been included and documented correctly if used.	Administration	Within 7x working days of receipt from Trainer and Assessor submission

▪ Should the administration staff find gaps in administration requirements they are required to return to the responsible Assessor to action and report the gaps on their continuous improvement register. **Student Feedback:** The Assessor must be open and document any feedback received by the student. **Reporting assessment outcomes:** All assessments must be reported to Administration no later than seven (7) working days at the completion of the assessment and sign off. Maintenance of records needs to be completed as per **P-003.6 Record Management Policy**.	Trainer and Assessor Student Trainer and Assessor Administration	As received Within 7x working days of completion of the assessment and sign off.

Recognition of Prior Learning Pathway
Student who enquire about Recognition of Prior Learning should have a suitability discussion with a Trainer and Assessor. The RPL process is individualised to reflect specific needs and experiences.
▪ The student is provided with **RPL Assessment Kit** which includes the unit (s) of competency they wish to RPL. The student is provided with information on the process along with appropriate fees and payment.
▪ The student is instructed to review the RPL Assessment Kit and evaluate their performance against each unit of competency they wish to apply RPL for. During this time the student will also collate documentary evidence and submit to TIC as per the instructions outlined in the kit.
▪ Submission of RPL kit may be done using one (1) of the following methods:
  ▪ In person
  ▪ Via Dropbox
  ▪ Via post
  ▪ Via email (if under the attachement size limit restrictions)
▪ Administration will inform the student of receipt, follow up on payment and forward the submitted evidence to an assessor for review. At no time should an assessor review prior to a deposit/payment being received.
▪ The assessor will review and if the application is approved, arrange an interview time with the student preferably at the student work premises if they are currently employed and they are using this employment as part of the RPL submission.
▪ Should the application be denied, Administration will contact the student and provide reason for the application being unsuccessful.
▪ Applications must be reviewed within 14 days from the date of receipt.
▪ Prior to undertaking the RPL Assessment the Assessor must familiarise themselves with the RPL Kit and unit (s) of competency including:
  ▪ Questions to ask at the interview
	Trainer and Assessor
	Administration
		Prior to, during and after an RPL assessment

- Documentary evidence submitted by the student - Whether practical observation is required and where - Any regulatory or licensing requirements - Mapping documents to assist in reasonable adjustments and evidence requirements ▪ Each student will submit different forms of evidence where the assessor will determine whether the evidence provided is suitable and sufficient documenting accordingly on each instrument. ▪ When assessing RPL applications the assessor must evaluate the evidence giving consideration against: - Authenticity – ensuring that all evidence is the candidates own work. Evidence of this may be any one or more of the following: a statutory declaration, asking direct questions, observing the candidate undertake practical tasks, and third party reference. - Validity – The evidence must ensure that the entire unit of competency is addressed. - Quality – The assessor must ensure that the evidence is credible. - Sufficiency – relates to the amount of evidence provided is sufficient enough to make an informed judgement of competence. - Current – evidence submitted is demonstrating the student's current ability against current industry expectations and standards. ▪ When signing off an RPL assessment as competent the assessor must be able to provide a rationale on their decision based on the evidence received. ▪ All evidence supplied with the RPL kit must be stored in the student files as per **P-003.6 Record Management and Maintenance Policy and Procedure**. ▪ Should evidence be provided where the students name has changed, the student must certify copies of documentary evidence of the change of name. ▪ RPL assessment timing will vary depending on the evidence received and whether further evidence is required. TIC expects the process to take no longer than 20 days should the student co-operate promptly in submitting evidence. ▪ Third parties are a form of supplementary evidence which contribute to the assessment. It must be noted that this form of evidence is not sufficient alone even if the third party is a qualified assessor. The third party report template which may be used as a form of evidence must contribute to the evidence gathered overtime during the assessment. Assessors must use this evidence to determine competent performance. **Recording and feedback:**		

▪ All mandatory fields **MUST** be completed by the student and assessor, signed and dated. Should Administration receive an RPL kit with gaps they must return the RPL Kit to the assessor to rectify and record on TICs continuous improvement register. ▪ The assessor MUST comment on the evidence received in a comprehensive manner for reporting, audits and authenticity of evidence. Especially if the evidence is sited by the assessor only at the student's work premises.		

Undertaking a Practical Placement Assessment
▪ It is not the responsibility of the Host Employer/Supervisor to assess or make determinations of competency.
▪ The Host Employer/Supervisor is responsible **ONLY** for confirming the ability of the student to consistently perform specific skills and demonstrate practical application of specific knowledge as outlined in the **Practical Placement Log which is part of the Practical Placement Workbook**. There are qualification specific workbooks located in N\TRAINING RESOURCES\APPROVED RESOURCES
▪ All assessors must assess each student directly.
▪ All assessors must provide students with notice prior to undertaking an assessment during work placement by:
    ▪ Contacting the student to confirm readiness, arrange a suitable time and date
    ▪ Confirming with the host employer on suitability
	Trainer and Assessor
	Host Employer
		When a Practical Placement assessment occurs

2 Conducting Assessments		
Review against training package ▪ Compliance are responsible for identifying and reviewing current assessments against changes made to training packages on training.gov.au. ▪ Each member of Compliance is required to sign up to www.training.gov.au to ensure they are aware of any changes to any qualification currently on scope.	Compliance	As applicable
Internal audits for continuous improvement ▪ As part of TIC's continuous improvement strategy it is responsible to undertake internal audits on assessment practices. This process will identify gaps in assessment in relation to conducting, completing the tool (s) and recording outcomes. ▪ The completed tools will be forwarded to Compliance who will review and record the outcomes on their continuous improvement register.	Compliance	When requested by Compliance

Document Revision History

Version Number	Author	Date Published	Description
3.0	Aleena Velich	September 2017	Revised Training and Assessment Policy and Procedure: • Expanded on Overview and Objective. • Included all relevant document, policis, and forms • Included relevant definitions. • Expanded significantly on policy. • Included a number of detailed procedures.
	Kaye Moodycliffe		Reviewed updated policy and procedure
3.1	Hetty Coles	14/11/2018	Updated name of policy
4.0	Aaron Hansen	03/06/2019	Major re-write
4.1	Natalie Robinson	21/06/2019	Corrected Document Revision History, which had been incorrectly maintained during Major Re-Write.
5.0	Fiona Dunkerton/Rebekah Faleafaga	02/03/2020	Major re-write
5.2	Rebekah Faleafaga	14/07/2020	Addition of new F-514 and updated formatting.
5.3	Vicki Searl	09/05/2022	Reviewed and Updated
5.4	Vicki Searl	14/06/2023	Reviewed and Updated