

# Conducting Assessments Policy & Procedure

## 1. Policy

This policy and procedure is to be used by Dalton College to ensure student assessments conducted meeting the Principles of Assessment and Rules of Evidence and meet the Standards for RTO's 2015 and relevant Training Package.

The assessment policy and procedure covers all assessments to be conducted for Nationally Recognised Training provided by Dalton College.

This policy and procedure is to be read in conjunction with the following documents:

- Training and Assessment Strategies
- Validation Procedure
- Industry Engagement Procedure

Students applying for Recognition of Prior Learning or Credit Transfer (National Recognition) should refer to relevant policies and procedures.

## 2. Procedure

### 2.1 Assessment Requirements (Principles of Assessment & Rules of Evidence)

#### Principles of Assessment

For an effective assessment system in a competency based environment, the following Principles of Assessment must be incorporated into the assessment process:

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| Fairness    | <p>The individual learner's needs are considered in the assessment process.</p> <p>Where appropriate, reasonable adjustments are applied by the RTO to take into account the individual learner's needs.</p> <p>The RTO 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.</p>   |
| Flexibility | <p>Assessment is flexible to the individual learner by:</p> <ul style="list-style-type: none"> <li>• reflecting the learner's needs;</li> <li>• assessing competencies held by the learner no matter how or where they have been acquired; and</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> |

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| Validity    | <p>Any assessment decision of the RTO is justified, based on the evidence of performance of the individual learner.</p> <p>Validity requires:</p> <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 learner could demonstrate these skills and knowledge in other similar situations; and</li> <li>• judgement of competence is based on evidence of learner performance that is aligned to the unit/s of competency and associated assessment requirements.</li> </ul>   |
| Reliability | <p>Evidence presented for assessment is consistently interpreted and assessment results are comparable irrespective of the assessor conducting the assessment.</p> <p>Reliability requires:</p> <ul style="list-style-type: none"> <li>• Assessment tasks and tools will be clear and unambiguous;</li> <li>• Assessment tools will include clear, consistent and specific assessment criteria;</li> <li>• Assessments will be conducted by qualified assessors ;</li> <li>• Assessments will be carried out within a system flexible enough to cope with multiple and diverse forms of evidence</li> <li>• Assessment tools will include comprehensive checklists for all practical assessments</li> <li>• Assessment tools will include assessor guides for all questions, allowing benchmarking against required competency levels</li> <li>• Validation and moderation of assessments will be conducted in accordance with Dalton College 's Validation Procedure</li> </ul> |

### **Rules of Evidence**

In addition to the above Principles of Assessment, the RTO must ensure that evidence of assessment is appropriate and meets the following Rules of Evidence when conducting assessments:

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- Written tests
- Calculation Tests
- Observation of skills in a simulated environment
- Case studies
- Question and answer sessions
- Projects
- Assignments

There may be a clustered assessment approach to some units where appropriate and all assessment arrangements and details of assessment requirements will be documented through the relevant Strategy for Training and Assessment and student / assessor instructions within the assessment documentation.

## 2.3 Development of Assessment Instruments

Dalton College will ensure that assessment instruments are available for each and every unit included in the Scope of Registration for the RTO. The CEO is required to ensure that assessment instruments are developed / purchased for each unit and that these assessment instruments meet the Principles of Assessment and Rules of Evidence as described above.

In developing assessment materials, Dalton College will ensure that:

- The standards, assessment processes and all associated information are straight forward and understandable;
- Learners are fully informed of the assessment processes and the requirements to be judged as competent in each unit

In addition Dalton College ensures the sufficiency of evidence by means of the following:

- Assessment tasks are developed in accordance with the requirements of each unit of competency and are mapped to each unit
- Assessor guides have been developed to ensure that assessors know what level of response is required of the learner
- Validation and moderation of assessments is conducted in accordance with Dalton College's Validation Procedure

## 2.4 Assessor Requirements

Assessments must be delivered by qualified assessors with facilities, equipment and support services needed to conduct the assessment.

Current industry skills the (knowledge, skills and experience) are required by VET trainers and assessors and those who provide training and assessment under supervision 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 is 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;

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Plus one of the following:

- TAEASS502 Design and develop assessment tools
  - TAEASS502A Design and develop assessment tools
  - TAEASS502B Design and develop assessment tools.
- TAEASS00011 Assessor Skill Set or

TAEASS00001 Assessor Skill Set, and one of the following:

- TAEASS502 Design and develop assessment tools
- TAEASS502A Design and develop assessment tools
- TAEASS502B Design and develop assessment tools.

NOTE: Some assessors who hold the TAEASS00001 may have completed the relevant unit as an elective or as part of ongoing professional development. Assessors who do not currently hold the relevant unit, will need to complete it before 1 April 2019 to meet the new requirements.

As the TAE40116 Certificate IV in Training and Assessment already contains the relevant two units as core units, no additional study will be required.

Refer:

<https://www.asqa.gov.au/news-publications/news/updates-trainer-and-assessor-credential-requirements-come-effect-april-2019>

<https://www.legislation.gov.au/Details/F2017C00663>

It is crucial that assessors always understand and practice fair, objective, unbiased and flexible assessment processes. Dalton College Assessors are encouraged to contribute to the assessment strategy development and conduct the assessment process cognisant to existing best practice and research in the relevant field.

Students are required to complete all assessment tasks to the specified standards specified in accordance with the assessor checklist. Where students do not achieve this standard, they are to be provided with additional learning opportunities and may be reassessed when they have completed the additional learning

## 2.5 Preparing the candidate for Assessment

All students must be informed of the assessment process prior to undertaking the assessment tasks. The assessor must ensure that any candidate undertaking assessment is provided the following:

- Explanation of the context and purpose of the assessment and the assessment process
- Explanation of the Competency Standards to be assessed and the evidence to be collected
- Outline of the assessment procedure, the preparation which the candidate should undertake, and answer any questions the candidate may have
- Assess the needs of the candidate and, where applicable, negotiate reasonable adjustment for assessing people with disabilities without compromising the integrity of the competencies

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- Seek feedback regarding the candidate's understanding of the competency standards, evidence requirements and assessment process
- Determination if the candidate is ready for assessment and, in consultation with the candidate, decide on the time and place of the assessment
- Implement the assessment plan

## 2.6 Authenticity

Assessors must be satisfied that the work submitted by the student is actually their own work and that it has not been copied or plagiarised. Students are required to sign a declaration that the work is their own work, and in addition assessors are to implement the following strategies:

- Where possible assessments should be completed in the presence of the assessor
- When assessing student's work, assessors should consider the work in the light of the student's classroom work and participation. If there is a significant difference, the assessor should interview the student and ask questions to confirm the student's knowledge of the material.
- Assessors should use relevant computer software to check for plagiarism

## 2.7. Candidates with Special Needs and Reasonable adjustment

One fundamental principle of an assessment system is that each candidate must have access to fair and open assessment. Candidates with special needs should be offered the same opportunities as any other candidate.

As special needs extend to more than identified physical or learning difficulties, assessors will also need to consider the best approach when dealing with candidates with needs such as low literacy, lack of confidence or non-English speaking background (e.g. mature aged students, students from culturally and linguistically diverse background).

An assessor must take special needs into consideration when assessing and depending on any specification given in the standards/training and assessment strategies, the assessor may be able to accept alternative evidence from a candidate with special needs. Each training and assessment strategy will have allowable reasonable adjustment processes identified for the assessor. If there is uncertainty, the assessor should refer the matter to the RTO Manager

## 2.8. Monitoring student Completion of Assessments

This section is to be read in conjunction with the policy and procedure on Monitoring Student Progress. Trainers are required to closely monitor the completion of assessment tasks by each student. Where a student does not submit an assessment task by the due date, the trainer must contact the student to ascertain the reason for the non-submission of the assessment work. The trainer must provide appropriate support to the student to assist them to complete the assessment tasks.

Where the trainer determines that the student will not complete the assessment tasks within a reasonable time, the trainer is to report this to the student support officer. The student support officer is to contact the student and to identify any issues which may be affecting the student's ability to complete the assessment tasks, and to provide appropriate counselling and advice. The student is also to be advised that students are required to maintain satisfactory progress through the course, and failure to do this may result in them being reported to the Department of Home Affairs

## 2.9. Use of simulation in assessment

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Where simulation of the workplace is used, such simulations must match the real workplace context as closely as possible. In particular, they should provide an assessment environment that allows for the demonstration of the broad concept of competency, notably:

- performing the task
- managing a number of different tasks
- coping with irregularities and breakdowns in routine
- dealing with the responsibilities and expectations of the workplace, including working with others
- transferring competency to new situations

The validity of simulations depends very much on how accurately the simulation mirrors real life situations. Simulations include fully realistic ‘mock ups’ and more simple recreations of the workplace environment that ‘set up’ an event for the purposes of learning and/or assessment. They may either expect the assessor to act as they would in real life, or to act and talk their way through the process.

Simulations allow the assessor to ‘stage’ the situation in a realistic manner but within defined and repeatable contexts. This allows the assessor to apply the same simulation, or the same ‘base’ simulation with variations, to different assessor and/or to the same assessor over time.

Simulations must be:

- allowed within the constraints of the units of competency and Training Package being assessed
- carefully planned and managed by people with specialist training in simulation and/or in consultation with the training organisation involved
- fully debriefed and used as an active learning experience for the assessee and all others involved in the simulation
- used in balance with evidence from other sources to show evidence of consistent performance over time

When conducting and assessing simulations, it is recommended that:

- the task is aligned with the elements and performance criteria and it is structured accordingly
- clear and explicit information is provided to the students as to what is expected of students
- the task is authentic and real-world based
- learning experience is scaffolded, breaking tasks down to manageable size

When making a judgement about competence on the basis of evidence gained mainly through simulations—as with any other assessment judgement—the assessor will need to take account of both the wording and the ‘spirit’ of the competency, its relationship with other units of competency and current workplace practices. In some instances, a Training Package may state that certain units of competency can only be assessed in an ‘actual’ workplace setting.

## 2.10 Recording and Reporting 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 assess this against the Elements, Performance Criteria, Required Skills and Knowledge and Critical Aspects of Evidence and Assessment in the relevant

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Units of Competency. This will be achieved by following the instructions within the assessment instruments

- Incorporate allowable adjustments to the assessment procedure without compromising the integrity of the competencies (if required)
- Evaluate the evidence in terms of validity, consistency, currency, equity, authenticity and sufficiency
- Record details of evidence collected and of outcome of each assessment Task (Satisfactory or Not Satisfactory)
- Make a judgement about competency based on the evidence and the relevant Unit[s] of Competency record the Unit outcome (Competent or Not Competent)
- Record the assessment outcome on the required Dalton College assessment documents
- Provide signed and dated assessment outcomes, and the original assessment to Student Administration
- Maintain the confidentiality of the assessment outcome

## 2.11 Feedback on the Assessment Outcome

The assessor must provide advice to the candidate 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 processes.
- An opportunity for reassessment if appropriate or requested by the candidate

## 2.12 Re-assessment and appeals process

Where a student has undertaken an assessment and it has been marked as 'Not Competent' (NC), they may be allowed to re-sit the test/or have a re-assessment. Where the assessment task involves observation either in a simulated environment or in the workplace, the student will be required to demonstrate the same skills as required in the first assessment task

If they are deemed 'NYC' for a second time they are to re-enrol into that unit/ subject.

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 CEO
- Participate any assessment appeal according to the RTO's policies and procedures (See Complaints and Appeals Policy and Procedure).

## 2.13 Review of Assessments

Once per month, prior to the monthly RTO meeting, a random sample of completed assessments with the completed "Assessment Review Checklist" (refer to Assessment Review Checklist and Flowchart-Student Assessment Review Process) by 10 students across a range of qualifications will be audited by the RTO Compliance Manager/Academic Manager. The aim of the audit is to identify if all assessments

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are being conducted in accordance with the Principles of Assessment and the Rules of Evidence. Where non compliances are identified:

- Rectification processes will be implemented to ensure that all future assessments are conducted in accordance with the Principles of Assessment and the Rules of Evidence
- If necessary, remedial action will be instigated with any students who may have been impacted by the non-compliance
- Relevant staff will be counselled
- Professional Development activities for assessors will be conducted
- The issues will be discussed at the next monthly RTO meeting

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