

## PROCEDURE: A4.3-P4.0

### ASSESSMENT

#### 1.0 INTRODUCTION

##### 1.1 Related Policy

Assessment Policy

##### 1.2 Purpose

This procedure outlines the processes and responsibilities of those involved in AIM's assessment system: assessment design and development, assessment delivery, including assessment of prior learning or recognition of prior learning (RPL), assessor judgment, assessment validation and reviews and assessment appeals.

##### 1.3 Scope

This procedure applies to all AIM staff involved in processes related to assessment.

##### 1.4 Scope Exceptions

The procedure only applies to nationally recognised qualifications and accredited courses on AIM scope and on the national register, ([training.gov.au](http://training.gov.au)).

#### 2.0 RESPONSIBILITIES

1. The Executive Director AIM is responsible for ensuring AIM has an assessment system: its assessment tools, practices and judgments that complies with the Standards for Registered Training Organisations (RTOs) 2015 (Standards for RTOs) and with other Commonwealth, state and territory legislation and regulatory requirements relevant to its operations and assessment system.
2. The Head of VET Product is responsible for ensuring that all assessment resources, tools and marking guides meet all national standards as articulated in relevant training packages and accredited courses, including the Principles of Assessment and the Rules of Evidence and that industry consultation informs assessment tools.
3. The Head of Academic Delivery VET is responsible for ensuring assessment at AIM is conducted in accordance with the Australian Vocational Education and Training (VET) Framework and that assessors have the required competencies and knowledge and can apply the Rules of Assessment in their assessment practices and judgements.
4. The Head of Academic Delivery VET is responsible for assessment/ recognition of prior learning, assessment validation and moderation processes and schedule and for assessment appeals.

## 3.0 PROCEDURE

### 3.1 Assessment Design and Development

1. The Head of VET Product will ensure that learning outcomes (specified in Training Package/Accredited Course requirements) are a central focus for design, quality and standards in assessment.
2. The Head of VET Product will identify:
  - a. assessment methods, including clustering where relevant
  - b. timing of assessment
  - c. any training package requirements in relation to the training and assessment practices (such as mandatory work placement hours and how this is structured into the course delivery)
  - d. any adjustments necessary to cater for different student characteristics.
3. The Learning Experience Architect will ensure that:
  - a. assessment design and customisation are core elements of the AIM assessment system
  - b. assessment tasks are appropriately designed to measure student achievement of learning outcomes
  - c. assessment provides evidence to make consistent academic judgements about students' achievement of learning outcomes
  - d. a variety of assessment methods and tasks are used to enable consistent judgements
  - e. there is a balance between early or formative assessment to provide helpful feedback during the learning experience, and summative assessment of the learning achieved.

### 3.2 Recognition of Prior Learning (RPL)

1. The Course Advisor team advise the student prior to enrolment of the RPL process and how enrolment will provide access to the Learning Management System and the RPL application function. The Course Advisor team also inform the student that there is no variation to the course cost if RPL is applied for.
2. The Head of Academic Delivery VET or the Program Coordinator will assign an Assessor to assess the student's RPL application submission within 21 business days.
3. The Assessor will:
  1. contact the student advising of the assessment process; that is, RPL is a form of assessment; therefore, there is no variation to the course cost if RPL is applied for, granted or not granted.
  2. discuss the student's individual circumstances and needs where required.
  3. review the RPL application in a timely manner, providing all necessary documents have been submitted.
  4. evaluate the application and the evidence, ensure the Rules of Evidence and Principles of Assessment are adhered to and follow section 3.3.

### **3.3 Assessment Delivery**

#### **3.3.1 Preparing for assessment.**

The Assessor:

1. Establishes the context, essential resources and purpose of the evidence to be collected.
2. Identifies and analyses the units of competency, Training Package and AIM assessment strategy to identify the evidence requirements.

#### **3.3.2 Preparing students.**

The Assessor will through orientation and assessment coaching sessions:

1. Explain the context and purpose of the assessment and the evidence to be collected.
2. Outline the preparation the candidate should undertake and answer any questions.
3. Seek feedback regarding candidates' understanding of the evidence requirements and assessment process.

#### **3.3.3 Collecting the evidence and making the assessment decision.**

The Assessor will:

1. Evaluate the evidence in terms of validity, consistency, currency, authenticity and sufficiency.
2. Consult and work with other staff, assessment panel members or technical experts involved in the assessment process if and where required.
3. Record details of evidence collected.
4. Make a judgement about the candidate's competence based on the evidence and the relevant unit(s) of competency.

#### **3.3.4 Providing feedback on the assessment.**

The Assessor must provide timely advice to the learner about the outcomes of the assessment process. This includes providing the candidate with:

- a. Clear and constructive feedback on the assessment decision.
- b. Information on ways of overcoming any identified gaps in competency revealed by the assessment.
- c. The opportunity to discuss the assessment process and outcome.
- d. Information on reassessment and the appeals process if applicable.

#### **3.3.6 Record and report results.**

The Assessor will:

1. Record the assessment outcome according to the policies and procedures of AIM.

2. Maintain records of the assessment procedure, evidence collected and the outcome according to the policies and procedures of AIM.
3. Maintain the confidentiality of the assessment outcome.

### **3.4 Assessment review**

#### **3.4.1 Reassessment and appeals process.**

The Assessor will:

1. Provide feedback and counselling to the student, if required, regarding the assessment outcome or process, including guidance on further options.
2. Provide the candidate with information on the reassessment and appeals process and the Complaints and Appeals Policy and Procedure.
3. Report any assessment decision that is disputed by the student to AIM Student Support.
4. Participate in the reassessment or appeal according to the policies and procedures of AIM.

#### **3.4.2 Re-assessment**

1. Students receiving an assessment result of 'Not Yet Competent' will be provided with feedback and additional training. Arrangements will be made for the student to re-attempt the assessment which must be within 10 working days of the release of the original result.
2. If the same student does not demonstrate the standard set for competency within that supplementary assessment, the student will be scheduled to recommence that unit and additional fees will be applied. The fee charged for supplementary attempts is the prevailing fee for that unit as set out in the Schedule of Fees available on the AIM website.
3. If the student is again deemed 'Not Yet Competent', immediate counselling will occur, and assistance will be offered in the form of a course study plan.
4. AIM acknowledges that there may be certain special circumstances that impact a student's re-assessment performance that may result in a 'Not Yet Competent' grade. Students who are in this situation should contact their Assessor to discuss their circumstances.
5. If the Assessor deems it appropriate, the student can request an additional assessment attempt and complete the application. The Head of Academic Delivery VET will review the application and may allow the student a third and final attempt.

### **3.5 Assessment validation**

1. The Head of Academic Delivery VET will plan the assessment validation schedule in accordance with the Standards for RTOs, Clauses 1.8, 1.9, 1.10 and 1.11 and 2, ensuring

AIM meets the 5-year timeframe of assessment validation for all courses on the AIM scope of registration.

2. The Head of Academic Delivery VET will ensure that internal Assessors participate in the assessment validation process and that independent Assessors are part of the process as required, particularly for training and education (TAE) products.
3. Assessors should review the assessment process and participate in assessment validation processes to improve assessor practice, judgments and assessment tools.
4. The Head of Academic Delivery VET will provide the Head of VET Product with the outcomes of the assessment validation process to inform the continuous improvement of assessment tools.
5. The Head of VET Product will check the assessment tools for quality and fit for purpose.
6. The Head of Academic Delivery VET will identify capability development opportunities to assessor practice as a result of the assessment validation process.

## 4.0 DEFINITIONS

- **Additional information request** - The Assessor requests additional evidence from the student to be able to make an assessment judgement.
- **Assessment** means the process of collecting evidence and making judgements on whether competency has been achieved, to confirm that a student can perform to the standard required in the workplace, as specified in a training package or VET accredited course.
- **Assessment appeal** refers to when a student disagrees with an assessment outcome and may commence an appeal process
- **Assessment system** refers to the coordinated set of policies and procedures that inform assessment development and review, validation of assessment tools and assessor judgements and improvements made to assessments and assessor practice to ensure assessments are consistent and based on the Principles of Assessment and Rules of Evidence.
- **Assessment tool** means the instrument used to collect evidence and make judgements for an entire unit of competency or a cluster of units. An assessment tool includes the following components: context and conditions of assessment, tasks to be administered to the student, an outline of the evidence to be gathered from the student; and evidence criteria used to judge the quality of performance (i.e. the assessment decision-making rules). This term also takes in the administration, recording and reporting requirements.
- **Assessment validation** means the quality review of the assessment tools, processes, practices and judgements.
- **ASQA** - the Australian Skills Quality Authority.

- **Competent** - RPL or competency is granted based on the evidence provided (this may also include a competency conversation between the Assessor and student).
- **Clustering** - The process of grouping competencies into combinations which have meaning and purpose related to work functions and needs in an industry or enterprise.
- **Currency**-A student's ability to demonstrate current industry skills, knowledge and understanding, so generally (depending on the industry and rate of change in practices) the evidence provided should be from either the present or the recent past (i.e. within the last 5 years).
- **Independent assessment validation** means validation carried out by a validator who is not employed or subcontracted by AIM to provide training and assessment.
- **Industry** means the bodies that have a stake in the services provided by AIM. These can include employers, group training and industry organisations, industry regulators; industry skills councils or committees, industry training advisory bodies, training advisory councils, occupational licensing bodies and unions.
- **Moderation** is the process of ensuring assessment judgements are aligned with the Rules of Evidence in the RTO Standards 2015. This process ensures the same standards are applied to all assessment results within the same unit of competency across all learner cohorts.
- **Not yet competent** - the Assessor has conducted assessment based on the evidence provided; however, the requirements of the unit/s of competency have not been met and the student cannot be deemed competent
- **Re-assessment** refers to the opportunity provided to candidates for a second assessment attempt after a 'Not Yet Competent' result was received from the first assessment attempt or where the student has failed to submit an assessment task within the specified time-frames.
- **Principles of Assessment** means the principles contained in Clause 1.8 of the Standards for Registered Training Organisations (RTOs) 2015, which includes fairness, flexibility, validity, and reliability.
- **Recognition of Prior Learning (RPL)** means the process by which prior learning (formal, informal) is identified and assessed for relevance and value against the requirements of a VET course to determine the competencies that may be granted towards that training product.
- **Rules of Evidence** means the rules contained in Clause 1.8 of the Standards for Registered Training Organisations (RTOs) 2015, which include validity, sufficiency, authenticity and currency.

## 7.0 REFERENCES AND ASSOCIATED INFORMATION

- Assessment Procedure

- Complaints and Appeals Policy and Procedure
- [Australian Qualifications Framework \(AQF\)](#) refers to the national policy for regulated qualifications in the Australian education and training system
- [Australian Skills Quality Authority \(ASQA\)](#) is the national regulator for VET in Australia. ASQA regulates courses and training provider
- [Standards for Registered Training Organisations \(RTOs\) 2015](#)
- Training Product Lifecycle Policy and Procedure

## 4.0 POLICY OWNERSHIP

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|----------------------|---|
| Policy Owner         | Executive Director AIM  |
| Status               | Reviewed on July 2022   |
| Approval Authority   | Chief Executive Officer   |
| Date of Approval     | 13 September 2022   |
| Effective Date       | 26 September  |
| Implementation Owner | Head of VET Product   |
| Maintenance Owner    | VET Compliance and Operations Manager   |
| Review Due           | 11 August 2025  |
| Content Enquiries    | Head of VET Product Leon D'Souza <a href="mailto:leon.dsouza@aim.com.au">leon.dsouza@aim.com.au</a> |

## AMENDMENTS

| Version | Amendment Approval (Date) | Amendment Made By (Position)          | Amendment Details   |
|---------|---------------------------|---------------------------------------|---|
| P 4.0   | 13 September 2022         | VET Compliance and Operations Manager | Policy and procedure updated in accordance with revised Scenia governance approach; inclusion of reference to assessment system a per the RTO Standards, Clause 1.8 |
|         |                           |                                       |   |