ATAR | DESIGN

Assessment

Policy, Procedures, Forms and Registers

POLICY	
Purpose	ATAR Design is committed to providing quality training and assessment in accordance with the Standards for Registered Training Organisations (2015). As such, ATAR Design is required to implement an assessment system that ensures assessments (including recognition of prior learning) comply with the assessment requirements of national Training Packages and VET Accredited courses within it scope of registration. This policy ensures ATAR Design assessment practices comply with Standards for RTOs (2015), provides ATAR Design assessors with clear information on assessment processes and evidence requirements, and ensures that assessments are conducted in accordance with the principles of assessment and rules of evidence.
Standard reference	1.1, 1.3, 1.4, 1.7, 1.8, 1.12, 2.1, 2.2, 2.4
Who is responsible	**CEO** • The CEO is responsible for ensuring assessments comply with the requirements of National Training packages, the current AQF Handbook and the Standards for Registered Training Organisations and that they are within the current scope of registration. • The CEO must ensure the assessment process is open, structured, consistent and comprehensive incorporating feedback to the client on the outcomes of the assessment process, as well as information regarding the appeals procedure and guidance on other options. • The CEO is responsible for ensuring the assessment strategies are designed with the flexibility to meet the needs and circumstances of a wide range of clients, including those who may be socially, linguistically, educationally, or otherwise disadvantaged. **The CEO will ensure:** • All appointed and authorised Assessors possess and maintain relevant qualifications and vocational competency in accordance with those required in Standards of RTOs. • Clients are provided information on the assessment process prior to assessments being conducted. • Assessors incorporate the principles of assessment including validity, reliability, flexibility and fairness when conducting assessments. • Assessors apply the rules of evidence including validity, sufficiency, currency and authenticity when conducting assessments. • Assessment processes provide for Recognition of Prior Learning (RPL). • An effective feedback mechanism is established and implemented to inform clients and clients on their assessment progress and results. • An effective recording and reporting process of the unit of competency/module including access to information by clients to their records. • Clients have access to an open, equitable and transparent appeals process. • Awards of qualifications are in accordance with RTO Scope of Registration as listed by TGA (www.training.gov.au). • Ongoing internal monitoring and validation of the assessment system for quality control checks. • Management and staff participation in an independent (external auditing) quality control process conducted by the VET regulator.

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	Assessors Assessors conducting assessment on behalf of ATAR Design will: • Ensure they assess and judge a client's skills and knowledge of competence against set standards, principles of assessment and rules of evidence. • Ensure that safety of the personnel involved in the assessment is maintained at all times. • Ensure that assessment focuses on the application of knowledge and skills to the standard of performance required in the workplace and covers all aspects of workplace performance. • Ensure the assessment process is open, structured, consistent and comprehensive incorporating feedback to the client on the outcomes of the assessment process, as well as information regarding the appeals procedure and guidance on other options. • Interpret and understand the performance criteria and evidence requirements. • Select appropriate assessment methods and materials. • Make fair and objective judgements. • Abide by the Assessor Code of Conduct. • Provide all relevant paperwork to administration for processing in a timely manner.
Review date	Ongoing

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Definitions	The following words and expressions have the following specific meaning, as in the Standards for Registered Training Organisations (RTOs) 2015. **Assessment** means 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 course. **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 contained in Table 1.8-1 and the Rules of Evidence contained in Table 1.8-2. **Competency** means 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. **Recognition of Prior Learning (RPL)** means an assessment process that assesses the competency/s of an individual that may have been acquired through 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. **Formal learning** refers to learning that takes place through a structured program of instruction and is linked to the attainment of an AQF qualification or statement of attainment (for example, a certificate, diploma or university degree); **Non-formal learning** refers to learning that takes place through a structured program of instruction, but does not lead to the attainment of an AQF qualification or statement of attainment (for example, in-house professional development programs conducted by a business); and **Informal learning** refers to learning that results through experience of work-related, social, family, hobby or leisure activities (for example the acquisition of interpersonal skills developed through several years as a sales representative).

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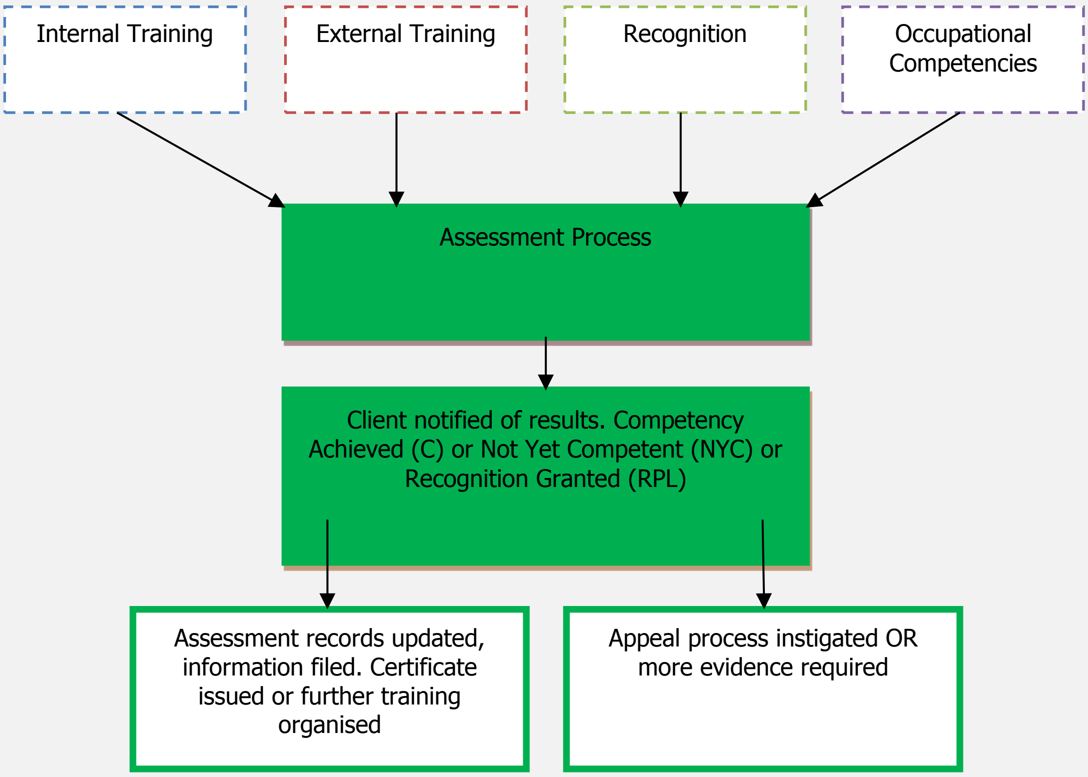
Policy	• ATAR Design offers assessment opportunities to all enrolled clients. ATAR Design is committed to ensuring that all assessment is conducted in a fair and equitable manner, meeting the requirements of the relevant Training Package, industry expectations and standards. • ATAR Design applies flexible assessment options, which recognize the diversity of individual client needs and circumstances, facilitating wherever possible the realization of their learning and vocational goals. **ATAR Design ensures that:** • All assessment options and processes implemented are in compliance with competency based assessment and Training Package requirements; • All assessments ensure the integrity of the VET system; • Assessment complies with the Principles of Assessment (POA) as prescribed in the Standard for RTOS; • Evidence submitted for assessment is assessed in accordance with the Rules of Evidence (ROE) as prescribed in the Standard for RTOS; and • All assessments are conducted by individuals who meet the necessary requirements as noted in the Standards for RTOs.
Policy principles	Competency based assessment is a system of collecting evidence, about a person's performance to a pre-set competency standard with emphasis placed on what a person can do (the outcome) rather than comparing a person's achievement to others. There is no concept of pass or fail, only competent (C) or not yet competent (NYC). The training is focused and allows for greater participation of the client in the assessment process. **The Assessment Model** 

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Three levels of assessment:
Various levels of assessment may be used, including:
- Diagnostic also known as pre-assessment provides information about prior knowledge and skills. This baseline information may diagnose a problem or training requirement.
- Formative 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. Assessment accumulates.
- Summative assessment evaluates of achievement of the Training outcome. Often conducted in the workplace, summative assessment confirms achievement of the competency requirements. Assessment culminates.

Assessment modes may include:
- On-the-job
- As part of training
- Off-the-job (Simulation)
- Completion and submission of assignments / work projects
- Recognition of Prior learning (RPL)

Evidence gathering methods commonly used by may include, but are not limited to:
- Projects
- Written Assignments
- Workplace assignments
- Workplace performance
- Documentation
- Demonstration
- Questioning
- Role play
- Simulation
- Oral presentations
- Written tests
- Portfolio
- Third party reports.

Assessment process
- Assessment is carried out in accordance with the requirements of the relevant Training Package, on a consistent and timely basis to ensure that learning has taken place and that clients have acquired the knowledge and skills required to demonstrate competency.
- All assessments will be recorded in accordance with the Records Management Policy and procedures using appropriate documentation and Student Management System (SMS).
- Assessment outcomes will be recorded and securely maintained in both electronic and manual systems.
- Feedback is provided to clients and includes the assessment outcome and guidance for further learning and assessment (as appropriate)

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Special Considerations
Clients who experience unforeseen circumstances or have special needs that affect their performance in an assessment may be eligible to apply for a special consideration and reasonable adjustment to assessment.

Special consideration may apply to clients who during training or assessment experience one of the following circumstances:
- Serious illness or psychological conditions for example, hospital admission, serious injury, severe anxiety or depression (requires doctor's certificate).
- Bereavement.
- Hardship/Trauma for example, victim of crime, sudden unemployment.

Other exceptional circumstances (to be assessed on application).
- Clients wishing to apply for Special consideration in the above circumstances may do so by discussing their circumstances with the CEO.

Approved applications for Special consideration may be subject to one of the following outcomes:
- Extension of submission date (not beyond 6 months);
- Deferred Assessment;
- Additional assessment;
- No action;
- Withdrawal from course without penalty;
- Resubmit/reassessment; or
- Opportunity to recommence course, dependent on availability on another date.

Reasonable Adjustments to assessment
- Clients have the right to apply for and receive adjustment to assessment activities to accommodate individual/special needs.
- Adjustments to assessment cannot compromise the integrity of assessment, elements and performance criteria of the unit of competency.
- Adjustments to assessment will not provide an unfair advantage / disadvantage to clients.

Assessment Submission
- All assessments submitted must include a completed assessment cover sheet, for client identification and disclaimer purposes. Referred to as "Record of Assessment"
- Assessments must be submitted by clients by the due date as per the training and assessment plan and training schedule.
- Clients who wish to extend their training and assessment plan (duration) must lodge a "request to extend the training and assessment plan form for approval"
- Clients have three re-submit attempts for an assessment which is deemed "Not Yet Competent". A $200 fee applies for a "Re-submit", after 3 attempts. It is at the discretion of the CEO to waiver this fee.
- Forth and subsequent re-submissions are not allowed. Clients must undertake further learning and possibly re-enrol, therefore paying a further course fee.

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Principles of Assessment

Assessments are conducted in accordance with the Principles of Assessment as prescribed in the Standards for RTOs. Below is an excerpt from the Standards for RTOs 2015

(Table 1.8-1):

Fairness	The individual learner'[s needs are considered in the assessment process. Where appropriate reasonable adjustments are applied by the RTO to take into account the individual learner's needs. 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
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; and • 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 the RTO 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 requirement 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 • Judgement of competence is based on evidence of learner performance that is aligned to the unit/s of competency and associated assessments requirements.
Reliability	Evidence presented for assessment is consistently interpreted and assessment results are comparable irrespective of the assessor conducting the assessment.

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Rules of Evidence
Assessments are conducted ensuring compliance with the Rules of Evidence (ROE) as prescribed in the Standards for RTOs. Below is an excerpt from the Standards for RTOs 2015 (Table 1.8-2):

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.

Assessor Requirements
All assessments are undertaken by suitable qualified Assessors who have both assessor competencies and vocational competencies at least to the level being assessed, and as prescribed in Standard 1 and Schedule 1 of the Standards for RTOs 2015.

Assessment Resources
- Assessment resources are developed in consultation with industry. (See Training and Assessment Strategies and Resources Policy)
- Assessment tools are the resources used by assessors to identify and record the skills and knowledge clients must demonstrate to be deemed competent in a unit/module.
- Assessment tools are crucial for the accurate and consistent assessment of clients against competency standards.
- Assessment tools are required as evidence of assessment and must be retained on record as proof that a person was assessed as competent, for a minimum period of six (6) months.

Assessment tools consists of:
- Instructions for clients;
- Instructions for assessors;
- Assessment instruments;
- Pre assessment briefing;
- Assessment checklists; and
- Assessment outcome Summary.

Assessment Validation
Assessment policies, processes, resources and outcomes are validated regularly. (See Validation Policy)

POLICY

Assessment Marking

- Assessments are not graded.
- Assessments are assessed/marked in order of submission date.
- When marking assessments, Assessors will make comments and provide genuine feedback for the entire assessment.
- Clients are notified of assessment outcomes within two (2) weeks of submission.

Assessment Decisions and Outcomes

Assessment outcomes are recorded as one of the following:

- Competent (C) – Clients are deemed 'competent' when they have consistently demonstrated their skills and knowledge to the standard required in the workplace, for a full unit/module.
- Not Yet Competent (NYC) – Clients are deemed 'Not Yet Competent' when they are unable/have not demonstrated appropriate levels of competence in accordance with the minimum performance standards for a full unit/module.
- Clients assessed as 'Not Yet competent' shall receive feedback and guidance from the Assessor, and may be required to undergo further training before re-assessment.

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Assessor Code of Conduct

All Assessors abide by the following code of conduct:

- Assessment specialists have developed an international code of ethics and practice (The National Council for Measurement in Education (NCME)). The Code of Practice below is based on the international standards.
  - The differing needs of clients will be identified and handled with sensitivity
  - Conflict of interest in the assessment process will be identified with appropriate referrals made to the Operations Manager when identified
  - All forms of harassment will be managed throughout the planning, conduct, reviewing and reporting of the assessment outcomes as per the Access and Equity Policy
  - The rights of the client are protected during and after the assessment
  - Personal or interpersonal factors that are not relevant to the assessment of competency must not influence the assessment outcomes as per the Complaints and Appeals Policy
  - The client is made aware of rights and processes of appeal
  - Evidence that is gathered during the assessment is verified for validity, reliability, authenticity, sufficiency and currency
  - Assessment decisions are based on available evidence that can be accessed and verified by another assessor
  - Assessments are conducted within the boundaries of the assessment system policies and procedures
  - Formal agreement is obtained from both the client and the assessor that the assessment was carried out in accordance with the procedures briefed before the commencement of the assessment
  - Assessment tools, systems, and procedures are consistent with equal opportunity legislation
  - Prior to the assessment the client is informed of all assessment reporting processes and all known potential consequences of decisions arising from the assessment
  - Confidentiality is maintained regarding assessment results and are only released with the written permission of the client
  - The assessment results are used consistently with the purpose explained to the client
  - Self-assessments are periodically conducted to ensure current competencies against the Training and Assessment Competency Standards
  - Professional development opportunities are identified and sought by assessors
  - Opportunities for networking amongst assessors are created and maintained with technical assistance in planning, conducting and reviewing assessment procedures and outcomes.

Recognition of Prior Learning

All clients are offered access to Recognition of Prior Learning (RPL), Recognition of Current Competency upon enrolment. (See Recognition Policy)

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	Plagiarism, Cheating and Collusion in Assessment • Plagiarism, cheating and collusion in assessment are expressly prohibited. • Clients cannot submit any piece of work for assessment that is not entirely their own work. • Clients cannot assist other ATAR Design clients with assessed work. • Clients cannot accept assistance from other ATAR Design clients with assessed work. • Clients cannot submit the same piece of work for assessment, as another learner/client of ATAR Design. • All cases of plagiarism, cheating and collusion are treated as a serious matter and will be reviewed and treated on a case by case basis. • Depending on severity and circumstances, penalties of plagiarism, cheating and collusion may include one or more of the following (ie sanctions may not be discrete): • Completion and resubmission of a new assessment task; and/or • All parties receiving a "Not Yet Satisfactory" result for the assessment task; and/or • Verbal or written warning; and/or • Suspension or expulsion from the course. • Client records will be noted with all investigated and proven incidents. • All incidents will be reviewed by the CEO. **Appeals** • Clients have the right to appeal an assessment decision. (See Appeals Policy) **Access and Equity** • Clients have fair and equal rights to assessment. (See Access and Equity Policy)
Records management	**Records Management** • All completed assessment items for all clients will be kept by for a minimum of six (6) months. • All assessment outcomes will be recorded and kept for a period of 30 years. • All documentation from Assessment processes are maintained in accordance with the Records Management Policy. (See Records Management) **Monitoring and Improvement** All Assessment practices are monitored by the CEO and areas for improvement identified and acted upon. (See Continuous Improvement Policy)

PROCEDURE

Step	Who	Procedure
1. Preparation for Assessment	Trainer / Assessor	• Clients are informed of assessment requirements prior to the commencement of learning • Clients receive assessment documentation prior to the commencement of learning.
	Assessor	• Client undergoes an assessment briefing session to confirm assessment requirements for each unit/module/cluster. • Client and Assessor agree on client's readiness for assessment for each unit/module/cluster. Student must complete the self-assessment checklist prior to commencement of the assessment process Note: if the student is not ready for assessment follow the readiness for assessment instructions noted is the assessor guide for each assessment cluster or unit of competency
	Client	• Client completes all assessment requirements for each unit/module/cluster. • Client takes and keeps a copy of the completed assessment prior to submission. • Client submits assessment to trainer whom will pass to the assessing team for marking.
2. Receiving Assessment submissions for marking	Admin	• Upon receipt of assessment submission, stamp/note the date the assessment was received. • Enter the details of the assessment submission into: – Assessment Received Register; – Student information in SMS – Provide copy of unmarked Assessment to Assessor for marking.

PROCEDURE

Step	Who	Procedure
3. Making Assessment judgement	Assessor	• Mark assessments in order of date received, ensuring all assessments are marked within two (2) weeks of receipt. • Use the Assessment Marking Guide for the unit/module to assist with judgement. • Where reasonable, if minor clarification is required from client to determine a successful outcome, contact the client by telephone and discuss. • Make relevant assessment judgement taking into account: – Elements and performance criteria for the unit/module; – Assessment requirements; – Principles of Assessment; and – Rules of Evidence; – Competency standard required in the workplace. – Complete all relevant documentation, including Assessment Outcome Sheet. – Provide written feedback on assessment and Assessment Outcome Sheet, as appropriate. – Contact Client with feedback and assessment outcome, advise on further evidence requirements or training, as appropriate. – Advise client of right to appeal. – Enter notes into Client records on SMS. – Forward all assessment documentation to Admin for processing.
4. Processing Marked Assessments	Admin	• If Assessment judgement is "NYS": • Take a copy of the assessment to be returned to the client and place on the Client File; • Update client record in SMS with assessment result. • Make a note when assessment has been returned for further evidence and submission. • Update the Assessment Outcome Tracking Form on the Client File. • Update the Assessment Received Register. • Return marked Assessment to the client. • If Assessment judgement is "S": • Update client record in SMS with assessment result. • Update the Assessment Outcome Tracking Form on the Client File. • Update the Assessment Received Register. • File all Assessment documentation onto Client File. (Full Assessment submissions and records must be kept on file for a minimum six (6) months.) • If Client is due for the Issuance of Certification Documentation, refer to Certification Issuance Procedures.
5. Client completes further assessment submission	Client	• Client completes all assessment requirements for each unit/module/cluster. • Client takes and keeps a copy of the completed assessment prior to submission. • Client submits assessment to Admin for marking.

PROCEDURE

Step	Who	Procedure

6. Receiving further Assessment submissions	Admin	• If this is the second (2nd) submission of an Assessment, Refer to Step 2.
		• If this is the third (3rd) submission of an Assessment:
		  – Upon receipt of assessment submission, stamp/note the date the assessment was received;
		  – Enter the details of the assessment submission into
		  – Assessment Received Register; and
		  – Student information in SMS.
		• Advise the client of the re-submission fee;
		• Raise and send invoice to client for re-submission after the 3rd attempt;
		• Invoice must be paid prior to assessment being marked;
		• Once re-submission invoice has been paid, refer to Step 5.
		• If this is the fourth (4th or more) submission of an Assessment; client is to be advised they must re-enrol in the unit/module again. Normal course fees apply.

7. Assessment Evaluation	Admin	• Provide Client with 'Student Assessment Evaluation form'. • Refer to Evaluation Procedures.
	Assessor	• Complete 'Assessor Evaluation Form'. • Submit completed form to Admin.

