

## Delivery and assessment policy v1.0

**Relevant standards:** AQTF 2007 Standards 1.1, 1.2, 1.3, 1.4, 1.5, 2.1, 2.3, 2.4, 2.5, 3.2, 3.3; AQTF 2007 Conditions of registration 6, 7, 9

**Changes to this document may also affect:** Access and Equity Policy, Assessment Validation and Moderation File for each qualification, Certification Register, Industry Consultation Folder, Professional Development Policy, Staff Appraisal Policy, Staff Recruitment and Induction Policy, Student Handbook, Student Induction Policy, Student Recruitment and Enrolment Policy, Training and Assessment Strategies.

### **This policy covers the following areas:**

1. Code of practice for assessors
2. Resources for training and assessment (physical and human)
3. Assessment Planning and needs analysis
4. Implementation of training and assessment, including learning support
5. Validation and continuous improvement of assessment
6. Recognition of prior learning (RPL)
7. Credit transfer and national recognition
8. Assessment appeals
9. Keeping records of assessment
10. Issuing of certification (qualifications, statement of attainment and transcripts)
11. Continuous improvement of these policies and procedures

### **Notes:**

- References to the "Users' Guide" mean the *Users' Guide to the Essential Standards for Registration*, produced in association with the AQTF 2007
- Any terms, such as "reliable" and "fair", that are defined in the glossary (Section 7) of the Users' Guide, and used here with the meaning explained in that glossary.

## 1. Code of practice for assessors

All people engaged in any way with assessment should make themselves familiar with the Code of Practice for Assessors (see separate document), and should follow it at all times.

## 2. Assessment planning and needs analysis

**Please read in conjunction with the Access and Equity Policy**

- Each qualification has a Training and Assessment Strategy, written in consultation with industry and detailing information such as client groups, elective units chosen, pre- and co-requisites, delivery modes and approaches, general information about adaptations needed to meet learner need and RPL, pathways and resources.
- Industry consultation should include “sufficient information to provide a clear picture of a competent candidate”. This should include “any unusual circumstances they need to deal with, any competing pressures they need to manage and any specific requirements they need to know about (for example, legislation and operating procedures) in order to work effectively”. The aim is to make sure that all dimensions of competency (task skills, task management skills, contingency management skills and job/role environment skills) “are effectively covered in training and assessment”<sup>1</sup>.
- Standard assessment instruments will be used. These may be varied in accordance with principles of reasonable adjustment—please see the Access and Equity policy. Other variations are permitted in response to validation and continuous improvement (see below), or to account for the particular circumstances and needs within a group of students. All variations must be fully documented and must be done with the approval, informal or otherwise, of the Associate Director (Training and Assessment).
- Data about student needs is collected during the recruitment and enrolment process (see Student Recruitment and Enrolment Policy). This data is passed to the Associate Director (Training and Assessment), who is responsible for passing it to the trainers/assessors of the students concerned. This data should be used in assessment planning. If student numbers warrant it, a file could be created to keep track of the specific needs of current students.
- Needs analysis should be an ongoing process. If a trainer/assessor discovers that a student’s individual needs have changed during the program, this should be communicated to the Associate Director (Training and Assessment), and if appropriate this could lead to adjustments to assessment planning.

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<sup>1</sup> Quotes from p17 (Element 1.5) of the AQTF 2007 Users’ Guide to the Essential Standards for Registration.

- All assessment instruments and processes, including RPL, should be designed with the following in mind:
  - Meeting training package requirements, including evidence guide (especially the context of assessment and critical aspects of assessment sections), assessment guidelines, units of competency, elements, performance criteria and range statements
  - Employability Skills/Key Competencies
  - Consistency with the training and assessment strategy
  - Whether the application of knowledge and skill is to the standard of performance required in the workplace.
  - Whether evidence meets the rules of evidence (fair, flexible, valid, reliable and sufficient)
  - Whether assessment meets the principles of assessment (validity, reliability, flexibility and fairness)
  - Whether workplace and regulatory requirements are met
- Changes or additions to the location of delivery or delivery mode will result in a review of resources to ensure they are current, sufficient and effective. Training and Assessment Strategies may be upgraded, or additional ones created, depending on the size of the changes. The Associate Director (Training & Assessment) is responsible for this.

### 3. Resources for training and assessment (physical and human)

Physical resource requirements and vocational competencies required of trainers can be found in the Training and Assessment Strategy for each qualification.

#### Physical resources

- Everyone involved in training and assessment will have access to the following, which will be kept in the trainers' resource area of the intranet:
  - Training and assessment strategies
  - Relevant training packages
  - Delivery materials
  - Assessment materials
- In addition, a library of the following will be built up to provide data for training and assessment strategies, and resources for learning and assessment activities.
  - Laws and regulations governing relevant industries
  - Policies and procedures for typical enterprises

### **Assessor competencies**

- All trainers/assessors must have the qualification and experience competencies specified by the NQC, or if they only hold some of these, they must work together as specified by the NQC (see Appendix 2 of the Users' Guide to the Essential Standards for Education).
- Wherever possible, all those involved in training and assessment should each have all of the training, assessment and vocational competencies specified by the NQC. In circumstances where trainees' interests are best served by trainers/assessors with some but not all of these competencies working together in the manner specified by the NQC, records must be kept by the Associate Director (Training and Assessment), and made available at audit, of the following:
  - Who was physically present in the delivery of each training session
  - Who the supervising trainer was, and what guidance, support and direction that trainer provided, before, during and after the training session/s (in the case of delivery)
  - How the assessors worked together to conduct assessment

The Associate Director (Training and Assessment) is also responsible for ensuring these supervision arrangements function well, meet the NQC standards and are fully documented.

- Where licensing bodies specify additional requirements in this area, these requirements will be documented in the training and assessment strategy.
- Please see the Staff Recruitment and Induction Policy in relation to validation of trainer and assessor competencies.
- Please see the Professional Development Policy in relation to supporting engagement with industry, professional development, and fostering a culture of critical evaluation and innovation.
- Please see the Staff Appraisal Policy in relation to the monitoring of training and assessment staff.

## 4. Implementation of training and assessment, including learning support

- Training staff are expected to ensure that the individual learning needs of their students are catered for. Strategies for this could include:
  - Giving the student individual attention while the rest of the class is undertaking another activity
  - Assigning another student as a mentor
  - In consultation with the Associate Director (Training and Assessment):
    - tutorials or other one-to-one assistance such as telephone or email support
    - LLN support, possibly outsourced
    - IT support
    - study skills support
    - any reasonable adjustment provisions (see Access and Equity Policy and the relevant Training and Assessment Strategy)
    - personal counselling
    - careers and job placement advice
- Training staff must ensure that employability skills are covered, taking into account the needs of individual students
- All assessment must:
  - Be consistent with the relevant Training and Assessment strategy
  - Meet the requirements of the relevant training package or accredited course
  - Be carried out according to the principles of assessment, that is, it must be valid, reliable, flexible and fair
  - “Focus on the application of knowledge and skill to the standard of performance required in the workplace” (Users’ Guide, Element 1.5)
  - Be based on evidence meeting the rules of evidence, that is, sufficient, valid, authentic and current
  - Be in accordance with workplace and regulatory requirements
  - Effectively cover the dimensions of competency, that is, task skills, task management skills, contingency management skills and job/role environment skills.
- The Associate Director (Training and Assessment) will monitor training and assessment activities to ensure that they are carried out in accordance with the training and assessment strategies, and that facilities, equipment and training and assessment resources are in place and are being used across all of Diverse Training Concepts’ operations.

## 5. Validation, moderation and continuous improvement of assessment

- The Associate Director (Training and Assessment) is responsible for ensuring validation and continuous improvement take place in accordance with this policy and with all applicable standards.
- Validation procedures and policies apply to all assessment, including RPL
- Assessment validation is based on:
  - Industry consultation
  - Moderation meetings, attended by all training and assessment staff
  - Regular review of programs
  - Monitoring of delivery and assessment
- Data that contributes to assessment validation may include:
  - Information from employers, including information about the work environment, preferences about delivery and assessment modes and methods, and the impact of new technologies
  - Consultation with industry. “Industry” can include private enterprise, government agencies and departments, professional organisations, industry training advisory bodies and skills councils, unions and licensing bodies. Where a qualification is likely to lead to non-vocational outcomes, “industry” can also include other educational organisations to which candidates may gain entry, or other relevant bodies and individuals.
  - Information from training and assessment staff based on their experiences of delivering and assessing the course.
  - Information from trainees, including client satisfaction surveys
  - Where relevant, information from licensing bodies
- The Associate Director (Training and Assessment) is responsible for ensuring this information is collected. Information from industry will be placed in the Industry Consultation Folder, which all training and assessment staff are expected to make themselves familiar with.

### **Moderation**

Moderation meetings will be held within two weeks of the end of each program and before final assessment results are decided. They will be chaired by the Associate Director (Training and Assessment), and wherever possible all who assessed on the course should attend. The agenda will include:

- Discussion of a sample of written assessments
- Discussion about borderline assessments
- Discussion of any new data (list of possible data given above).
- Consistency of assessment judgements between assessors
- Meeting training package requirements (including the evidence guide, assessment guidelines, units of competency, elements, performance criteria and range statements)
- Consistency with the training and assessment strategy
- Whether the application of knowledge and skill is to the standard of performance required in the workplace.

- Whether evidence meets the rules of evidence (fair, flexible, valid, reliable and sufficient)
- Whether assessment meets the principles of assessment (validity, reliability, flexibility and fairness)
- Whether workplace and regulatory requirements are met

Where some assessment is through the completion of practical activities, including workplace assessment, each assessor should sit in on the assessment activities of another assessor and discuss the results at least once a year. The focus should be on consistency of assessment judgements. Where necessary, the Associate Director (Training and Assessment) will draw up a schedule for these observations.

Minutes of all moderation meetings, together with any other records relating to validation, will be filed in the Assessment Validation and Moderation Folder for that qualification.

### **Program review**

*See the Continuous Improvement Policy for more detail*

- Continuous improvement provisions may give rise to improvements to programs at any time. However, all programs will be formally reviewed at least once every year to ensure:
  - currency
  - sufficiency
  - effectivenessof delivery materials, assessment materials, access and equity provisions and staff competencies.
- Reviews may take place at other times for reasons such as newer versions of the training package, new or amended legislation or industry codes of practice, changes to technology or the findings of industry consultation indicating a need for a change.
- Wherever possible, the review should include consultation with industry.
- A brief report of each review should be filed in the Assessment Validation and Moderation Folder.

### **Monitoring**

It is the responsibility of the Associate Director (Training and Assessment) to ensure that all delivery and assessment is carried out in accordance with the relevant training and assessment strategy. Monitoring may take the form of observations of training sessions, discussion about assessment decisions, review of client feedback surveys or any other process at the discretion of the Associate Director (Training and Assessment).

## 6. Recognition of Prior Learning (RPL)

- All students are advised during the recruitment process that RPL is available, and again during the induction process. Further, the application form asks whether the student would like to apply for RPL.
- If a student or prospective student has any questions about RPL, they should be referred to the Associate Director (Training and Assessment). In the case of pre-enrolment enquiries from out of state or overseas, communication may be by email, telephone, internet chat or other appropriate method. Such discussions should be structured to minimise the cost and time to the applicant, eg by the college calling the student back. Also, it is important that students are not deterred from applying for RPL due to the complexity of the process.
- After being referred to the Associate Director (Training and Assessment), the RPL application process is as follows:
  1. The Associate Director (Training and Assessment) (or an experienced assessor) explains the process, RPL application form and types of evidence required to the student. This will usually involve talking through the work and life experiences that may contribute to RPL. It will also include an explanation of the RPL application form.
  2. The student completes an RPL Application Form. The student should be informed that assistance with doing this is readily available. This assistance should be provided.
  3. The student submits the complete, signed RPL application form together with the evidence. If original documents are available, copies can be made and signed as true copies by any member of college management; otherwise, true copies certified by a JP or overseas equivalent should be submitted.
  4. The application is assessed by the Associate Director (Training and Assessment) or suitably knowledgeable assessor delegated by the Associate Director (Training and Assessment). Assessment should follow all the requirements of section 4 of this document (Implementation of assessment) and the evidence should be assessed against the requirements specified by the training package, just as with any other assessment.
  5. The student should be informed in writing of the outcome of their application within ten working days. Where RPL is not granted for any unit of competency applied for, the notification should include the reasons.
  6. The Associate Director (Training and Assessment) should pass the RPL assessment records to the Administration Officer in the usual way. The Administration Officer will update the student's assessment records by following the procedures in 'Keeping Records of Assessment', below, and if necessary, alter the enrolment records to reflect the fact that there is no need for the student to attend training and assessment sessions for the units for which RPL was granted. A scan of the completed, signed RPL kit and copies of the attached documents used for assessment (certified as true copies by a member of management) should also be saved in the student's file.

Note that the full RPL process should only be started after the student has paid the appropriate fees. Before the student pays, it is important that they have enough information to make a decision about applying for RPL.

## 7. Credit transfer and national recognition

- Diverse Training Concepts recognises the relevant AQF qualifications and statements of attainment obtained from other Registered Training Organisations (RTOs).
- Where a student requests credit for qualifications outside the AQF, assessment should follow a process similar to RPL (Note: the glossary of the AQTF 2007 Users' Guide to the Essential Standards for Registration states that credit transfer can include "transfer that is based on formal learning outside the AQF").
- Where a student has gained units of competence from another RTO that may count towards a qualification at Diverse Training Concepts, the following procedure ("national recognition") should be followed, at no cost to the student:
  1. The student should show the original qualification or statement of attainment and transcript (or copies thereof certified as true by a JP) to the Associate Director (Training and Assessment).
  2. The Associate Director (Training and Assessment) will determine whether any units of competency can be counted towards the qualification in which the student is enrolled.
  3. If units may be counted towards such qualifications, the Associate Director (Training and Assessment) then verifies this by contacting the RTO that issued the documents.
  4. Upon successful verification, the Associate Director (Training and Assessment) informs the Administration Officer which units can be recognised for credit transfer, and indication of competency for these units is added to the student's transcript.
  5. Copies of the documents are made and certified as true copies by the Associate Director (Training and Assessment). These copies are placed in the student's file and the originals returned to the student.
  6. Records are updated as per the 'Keeping Records of Assessment' section below.
- For credit transfer (not national recognition), the same fees apply as for RPL.

## 8. Assessment Appeals

Note that assessment appeals should in no way be seen as any kind of complaint. Rather, they should be considered a legitimate part of the assessment process.

Assessment appeals can be made up to four weeks after the date of the assessment decisions (including RPL), longer at the discretion of the Associate Director (Training and Assessment). This time scale should ensure that all concerned have clear memories of the initial assessment. Full records should be kept until this period has elapsed, in order that sufficient evidence is available to deal fairly with the appeal.

The handling of assessment appeals is the responsibility of the Associate Director (Training and Assessment), and should follow the procedure below:

1. The student should be encouraged to discuss with the assessor the reason for the assessment decision. The assessor should ensure that constructive feedback is provided to the student.
2. If the student decides to make a formal appeal against the assessment decision, an Appeals/Complaints Form should be completed, with reasons why the student feels the assessment decision was wrong.
3. After receiving a formal assessment appeal application, the Associate Director (Training and Assessment) forms an assessment appeals committee. This will comprise the Associate Director (Training and Assessment) and the assessor originally involved in the decision, plus:
  - a. where possible, one or preferably two other assessors with qualifications/experience to assess against the unit/s of competency concerned.
  - b. in the case of specialised units where another assessor experienced/qualified to assess against the unit isn't available, then one or preferably two experienced assessors.
4. The committee considers the evidence originally provided for the assessment and reaches a decision.
5. The decision is communicated in writing to the student within ten working days of the date of submission of the formal appeal, with reasons and, where appropriate, with additional feedback about what is required to be assessed as competent.
6. The written result of the assessment appeal is filed together with the Appeals/Complain Form and any other relevant evidence in (a) the student's file and (b) the Assessment Validation and Moderation Folder for that qualification. Where relevant, it is also discussed at the next moderation meeting that considers the unit/s of competency concerned.
7. Assessment records are updated as per the 'Keeping Records of Assessment' section below.

## 9. Keeping records of assessment

Assessors should follow the procedure below for recording assessment results (RPL and credit transfer are covered above):

1. Complete the Record of Assessment sheet that belongs to the assessment tool, sign it, and make a copy.
2. Give the copy to the student, and the original to the Administration Officer. Keep your own copies for the purposes of checking results later—ensure that such records remain confidential at all times. The assessor will need to double-check data before a qualification is issued: see Section 10.

From this point on, it is the responsibility of the Administration Officer to look after assessment records:

3. Check that the Record of Assessment sheet is signed
4. Assessment results are entered into the database
5. File the assessment record sheets in the students' files

At all times, the provisions of the Records, Data Management and Information Dissemination Policies and Procedures must be adhered to, including confidentiality, student access provisions and duration of storage.

## 10. Issuing of certification (qualifications, statements of attainment and transcripts)

The AQF rules for issuing certification will be followed throughout.

- Where a student is assessed as competent in exactly the units of competency needed to obtain a qualification, the student will be issued with a qualification and a transcript.
- Where a student is assessed as competent in more units than are required for a qualification, the student will be issued with the qualification, a statement of attainment listing the units beyond those required for the qualification, and a transcript listing all units, and stating which ones went towards the requirements of the qualification.
- Where a student is assessed as competent in fewer units than are required for a qualification, the student will be issued with a statement of attainment and a transcript.
- No documents are to be issued until all assessors who have assessed a course have checked that the assessment results data has been entered correctly into the database.
- Qualifications, statements of attainment and transcripts are issued automatically within four weeks of the end of a student's enrolment. In addition, transcripts may be issued at any time at the request of the student.
- Statements of attainment should list only the units of competency in which the student was assessed as competent.

- Each qualification and statement of attainment issued is to be given a unique number, which is recorded in the Certification Register. This is for verification and security purposes.
- From 1<sup>st</sup> January 2009, all qualifications issued will include the following wording: *A summary of the employability skills developed through this qualification can be downloaded from <http://employabilityskills.training.com.au/>*
- Qualifications, Statements of Attainment and Transcripts are not to be issued without confirmation that the name that appears on them is identical to the name on an ID document (driving licence, passport or birth certificate).
- Students issued with a qualification will be given a copy of the Employability Skills Summary for that qualification, accessed from <http://employabilityskills.training.com.au/>. They will also be informed that they can download the Employability Skills Summary from this website at any time.

## 11. Continuous improvement of this document

- This policy is reviewed at Management Meetings whenever a suggestion to do so is made, otherwise annually.
- Continuous improvement may include data from:
  - Annual staff survey (Staff feedback form)
  - Client satisfaction survey
  - Informal observations and comments from staff.
  - Assessment appeals
  - Complaints and appeals
- Records of continuous improvement will include:
  - Archived surveys, complaints, appeals and summaries thereof
  - Minutes of meetings where continuous improvement is discussed
  - Version change information at the end of this document
  - Archived previous versions of this document

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Position responsible for policy: <b>Associate Director (Training and Assessment)</b>		
Signature of CEO:		