

# Assessment and Recognition Policy

## 1. Purpose

Transforming Training is committed to providing quality training and assessment in accordance with the Standards for Registered Training Organisations (SRTOs 2015). As such, Transforming Training 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 its scope of registration.

This policy ensures Transforming Training assessment practices comply with SRTOs, provides Transforming Training 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.

## 2. Policy Statement

Transforming Training offers assessment opportunities to all enrolled learners. Transforming Training 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.

Transforming Training applies flexible assessment options, which recognize the diversity of individual learner needs and circumstances, facilitating wherever possible the realization of their learning and vocational goals.

Transforming Training 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.
- Recognition is offered to all Learners on enrolment;
- Adequate information and support are provided to Learners in understanding the process and gathering reliable evidence to support their recognition claim; and
- Appropriate recognition will be given to AQF Certification documentation issued by other RTOs.

### 3. Definitions

3.1. The following words and expressions have the following specific meaning, as in the Standards for Registered Training Organisations (SRTOs 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.

- a) 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);
- b) 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
- c) 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).

**Registrar** has the meaning given in the *Student Identifiers Act 2014*.

**Statement of attainment** means a statement issued to a person confirming that the person has satisfied the requirements of the unit/s of competency or accredited short course specified in the statement.

**Unit of competency** means the specification of the standards of performance required in the workplace as defined in a training package.

### 4. Policy Principles

#### 4.1. Underpinning Principles of Assessment

- a) 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 learner in the assessment process.

- a) Three levels of assessment:
- b) Various levels of assessment may be used, including:
  - i. **Diagnostic** also known as pre-assessment provides information about prior knowledge and skills. This baseline information may diagnose a problem or training requirement.
  - ii. **Formative** assessment assists and supports training by monitoring and advising learners of their performance and rate of progress against the training outcomes. This provides feedback to the learner, supervisor and trainer on what development activities are needed to achieve the required competencies. Assessment accumulates.
  - iii. **Summative** assessment evaluates achievement of the Training outcome. Often conducted in the workplace, summative assessment confirms achievement of the competency requirements. Assessment culminates.
- c) Assessment modes may include :
  - i. On-the-job
  - ii. As part of training
  - iii. Off-the-job (Simulation)
  - iv. Completion and submission of assignments / work projects
  - v. Recognition of Prior learning (RPL)
- d) Evidence gathering methods commonly used by Transforming Training may include, but are not limited to:
  - i. Projects
  - ii. Written Assignments
  - iii. Workplace assignments
  - iv. Workplace performance
  - v. Documentation
  - vi. Demonstration
  - vii. Questioning
  - viii. Role play
  - ix. Simulation
  - x. Oral presentations
  - xi. Written tests
  - xii. Portfolio
  - xiii. Third party reports.

- e) 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 learners have acquired the knowledge and skills required to demonstrate competency.
- f) All assessments will be recorded in accordance with Transforming Training Records Management Policy and procedures using appropriate documentation and Student Management System (SMS).
- g) Assessment outcomes will be recorded and securely maintained in electronic format; and/or possibly a manual system.
- h) Feedback is provided to learners and includes the assessment outcome and guidance for further learning and assessment (as appropriate);

## 4.2. Underpinning Principles of PRL

- a) Recognition is made available to any person commencing a course with Transforming Training.
- b) Recognition of Prior Learning (RPL) is the determination, on an individual basis, of the skills and knowledge currently held by the learner acquired through formal, non-formal and informal learning.
- c) Recognition is used to determine the advanced standing or 'credit', for a training program, that the learner may be awarded as a result of their prior knowledge, skills and experience.
- d) Recognition is an alternative pathway to an AQF qualification or Statement of Attainment.
- e) Recognition is an Assessment process, and as such is subject to all provisions of this policy.
- f) Recognition Assessment decisions must comply with Principles of Assessment and Rules of Evidence as outlined in the Standards for RTOs and in this policy.
- g) All Learners may apply for formal recognition of existing competencies against an AQF qualification / accredited course / unit of competency /module that Transforming Training is registered to deliver.
- h) The onus is upon the candidate to demonstrate competence to the satisfaction of the assessors, including the provision of certification documentation.
- i) Competency may be derived from many sources:
  - i. Work experiences
  - ii. Work product
  - iii. Life experience
  - iv. Training programs offered by industry, private or community based providers which may or may not have been formally recognised
  - v. Training programs undertaken overseas (which may or may not be accredited in that country)
  - vi. Informal learning programs
  - vii. Certification from another RTO

- j) Only accredited and approved assessors will conduct Recognition assessments on behalf of Transforming Training.
- k) Recognition assessments must comply with the assessment requirements detailed in the relevant Training Package and VET Accredited course.
- l) Recognition application and assessments are subject to fees as outlined in Transforming Training 'Schedule of Fees'.
- m) The minimum acceptable claim for Recognition is a Unit of competency/module.
- n) Certification documentation will not be issued until all relevant fees are paid in full. (See **Certificate Issuance Policy**)
- o) Information of Recognition processes and arrangements are provided to all Learners and prospective Learners.
- p) An applicant, who has undertaken a course that is not competency based, can gain credit transfer into a competency-based course if the mapping of competency can be justified.

#### 4.3. Mutual Recognition / Credit Transfers

- a) Transforming Training will accept and mutually recognise the decisions and outcomes of any RTO or body in partnership with an RTO, thereby ensuring mutual acceptance throughout Australia of the qualifications and Statements of Attainment awarded by other RTO's or AQF authorised issuing organisations.
- b) Transforming Training recognises AQF certification documentation from other RTOs, and authenticated VET transcripts issued by the Registrar and after review and verification of validity will apply a credit to all relevant units of competency/modules.
- c) Mutual Recognition applies when the certification documentation provided by the Learner contains the same national competency code as those that form part of the training and assessment program offered by Transforming Training.
- d) Certification documentation must be presented as either originals or certified copies of an original. Certified copies must be signed by an authorised signatory or Compliance Manager of Transforming Training to verify authenticity. Original Certification documentation will be returned to the applicant.
- e) Transforming Training is not obliged to issue an AQF qualification or Statement of Attainment that is achieved wholly through recognition of units and /or modules completed at another RTO or RTOs. (i.e. a Learner cannot complete all of their learning and assessment with another RTO and request Transforming Training to issue the qualification under Recognition).
- f) The amount of recognition contributing to the issuance of certification documentation from Transforming Training (i.e. using units/modules completed at other RTOs) is at the discretion of the Principal of Transforming Training.
- g) In the event a Learner wishes to undertake refresher training in a unit/module for which they previously have been awarded recognition, the Learner will be advised that the completion of the assessment is not necessary, however, may be offered as an option.

- h) Where the recognised AQF qualification and attributed units/modules forms part of another AQF qualification, the Learner will only be enrolled in the additional units required to complete the new qualification.
- i) Fees will reflect reduced learning load.

#### 4.4. Special Considerations

- a) Learners 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.
- b) Special consideration may apply to learners who during training or assessment experience one of the following circumstances:
  - i. Serious illness or psychological conditions for example, hospital admission, serious injury, severe anxiety or depression (requires doctor's certificate).
  - ii. Bereavement.
  - iii. Hardship/Trauma for example, victim of crime, sudden unemployment.
  - iv. Other exceptional circumstances (to be assessed on application).
- c) Learners wishing to apply for Special consideration in the above circumstances may do so by discussing their circumstances with the Principal Transforming Training.
- d) Approved applications for Special consideration may be subject to one of the following outcomes:
  - i. Extension of submission date (not beyond 3 months);
  - ii. Deferred Assessment;
  - iii. Additional assessment;
  - iv. No action;
  - v. Withdrawal from course without penalty;
  - vi. Resubmit/reassessment; or
  - vii. Opportunity to recommence course, dependent on availability on another date.

#### 4.5. Reasonable Adjustment

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

#### 4.6. Assessment Submission

- a) All assessments submitted include student's name, and a completed Learner Declaration or have the LMS Declaration completed
- b) Assessments must be submitted by learners within four (4) months of commencement of any unit/course.
- c) Learners who wish to submit assessment after four (4) months of commencement of a unit/course may need to re-enrol in the training course paying the scheduled course fee at the time.
- d) Learners are allowed reattempts for an assessment which has previously been deemed "Not Yet Competent". Fees may apply after a fourth "Re-submit", at the discretion of Principal Transforming Training.
- e) Fifth and subsequent re-submissions are not allowed. Learners must undertake further learning and possibly re-enrol, therefore paying a further course fee.

#### 4.7. Principles of Assessment

- a) 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):

<b>Fairness</b>	<p>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.</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>
<b>Flexibility</b>	<p>Assessment is flexible to the individual learner by:</p> <p>Reflecting the learner's needs;</p> <p>Assessing competencies held by the Learner no matter how or where they have been acquired; and</p> <p>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.</p>
<b>Validity</b>	<p>Any assessment decision of the RTO is justified, based on the evidence of performance of the individual learner.</p> <p>Validity requires:</p> <p>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;</p> <p>Assessment of knowledge and skills is integrated with their practical application;</p> <p>Assessment to be based on evidence that demonstrates that a learner could demonstrate these skills and knowledge in other similar situations; and</p>

	Judgement of competence is based on evidence of learner performance that is aligned to the unit/s of competency and associated assessments requirements.
<b>Reliability</b>	Evidence presented for assessment is consistently interpreted and assessment results are comparable irrespective of the assessor conducting the assessment.

#### 4.8. Rules of Evidence

- a) 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):

<b>Validity</b>	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.
<b>Sufficiency</b>	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.
<b>Authenticity</b>	The assessor is assured that the evidence presented for assessment is the learner's own work.
<b>Currency</b>	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.

#### 4.9. Assessment 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.

#### 4.10. Assessment Resources

- a) Assessment resources are developed in consultation with industry. (See **Training and Assessment Strategy Policy**)
- b) Assessment tools are the resources used by assessors to identify and record the skills and knowledge learners must demonstrate to be deemed competent in a unit/module.
- c) Assessment tools are crucial for the accurate and consistent assessment of learners against competency standards.
- d) 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.
- e) Assessment tools consist of:
- i. Instructions for learners;

- ii. Instructions for assessors;
- iii. Assessment instruments;
- iv. Pre-assessment briefing;
- v. Assessment checklists; and
- vi. Assessment outcome Summary.

#### 4.11. Assessment Validation

- a) Transforming Training assessment policies, processes, resources and outcomes are validated regularly. (See **Validation Policy**)

#### 4.12. Assessment Marking

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

#### 4.13. Assessment Decisions and Outcomes

- a) Assessment outcomes are recorded as one of the following:
  - i. **Competent (C)** - Learners are deemed 'competent' when they have consistently demonstrated their skills and knowledge to the standard required in the workplace, for a full unit/module.
  - ii. **Not Yet Competent (NYC)** – Learners 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.
- b) Learners assessed as 'Not Yet competent' shall receive feedback and guidance from the Assessor, and may be required to undergo further training before re-assessment.

#### 4.14. Assessor Code of Conduct

- a) All Transforming Training 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.
  - i. The differing needs of learners will be identified and handled with sensitivity
  - ii. Conflict of interest in the assessment process will be identified with appropriate referrals made to the operations manager when identified

- iii. 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**
- iv. The rights of the learner are protected during and after the assessment
- v. Personal or interpersonal factors that are not relevant to the assessment of competency must not influence the assessment outcomes as per the **Assessment Appeals Policy**
- vi. The learner is made aware of rights and processes of appeal
- vii. Evidence that is gathered during the assessment is verified for validity, reliability, authenticity, sufficiency and currency
- viii. Assessment decisions are based on available evidence that can be accessed and verified by another assessor
- ix. Assessments are conducted within the boundaries of the assessment system policies and procedures
- x. Formal agreement is obtained from both the learner and the assessor that the assessment was carried out in accordance with the procedures briefed before the commencement of the assessment
- xi. Assessment tools, systems, and procedures are consistent with equal opportunity legislation
- xii. Prior to the assessment the learner is informed of all assessment reporting processes and all known potential consequences of decisions arising from the assessment
- xiii. Confidentiality is maintained regarding assessment results and are only released with the written permission of the learner
- xiv. The assessment results are used consistently with the purpose explained to the learner
- xv. Self-assessments are periodically conducted to ensure current competencies against the Training and Assessment Competency Standards
- xvi. Professional development opportunities are identified and sought by assessors
- xvii. Opportunities for networking amongst assessors are created and maintained with technical assistance in planning, conducting and reviewing assessment procedures and outcomes.

#### 4.15. Recognition of Prior Learning

- a) Learners are offered access to Recognition of Prior Learning (RPL) upon enrolment.

#### 4.16. Plagiarism, Cheating and Collusion in Assessment

- a) Plagiarism, cheating and collusion in assessment are expressly prohibited.
- b) Learners cannot submit any piece of work for assessment that is not entirely their own work.

- c) Learners cannot submit the same piece of work, for individual assessments, as another learner of Transforming Training.
- d) 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.
- e) Depending on severity and circumstances, penalties of plagiarism, cheating and collusion may include one or more of the following (i.e. sanctions may not be discrete):
  - i. Completion and resubmission of a new assessment task; and/or
  - ii. All parties receiving a “Not Yet Satisfactory” result for the assessment task; and/or
  - iii. Verbal or written warning; and/or
  - iv. Suspension or expulsion from the course.
- f) Learner records will be noted with all investigated and proven incidents.
- g) All incidents will be reviewed by the Principal of Transforming Training.

## 5. Transforming Training Responsibilities

### 5.1. Principal

The Principal of Transforming Training 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 Principal of Transforming Training must ensure the assessment process is open, structured, consistent and comprehensive, incorporating feedback to the learner on the outcomes of the assessment process, as well as information regarding the appeals procedure and guidance on other options.

The Principal of Transforming Training is responsible for ensuring the assessment strategies are designed with the flexibility to meet the needs and circumstances of a wide range of learners, including those who may be socially, linguistically, educationally, or otherwise disadvantaged.

The Principal will ensure:

- a) All appointed and authorised Assessors possess and maintain relevant qualifications and vocational competency in accordance with those required in Standards of RTOs.
- b) Learners are provided information on the assessment process prior to assessments being conducted.
- c) Assessors incorporate the Principles of Assessment (validity, reliability, flexibility and fairness) when conducting assessments.
- d) Assessors apply the Rules of Evidence (validity, sufficiency, currency and authenticity) when conducting assessments.
- e) Assessment processes provide for Recognition of Prior Learning (RPL).

- f) An effective feedback mechanism is established and implemented to inform learners on their assessment progress and results.
- g) An effective recording and reporting process of the unit of competency/module including access to information by learners to their records.
- h) Learners have access to an open, equitable and transparent appeals process.
- i) Awards of qualifications are in accordance with RTO Scope of Registration as listed by TGA (www.training.gov.au).
- j) Ongoing internal monitoring and validation of the assessment system for quality control checks.
- k) Management and staff participation in an independent (external auditing) quality control process conducted by the VET regulator.

## 5.2. Assessors

Assessors conducting assessment on behalf of Transforming Training will:

- a) Ensure they assess and judge a learner's skills and knowledge of competence against set standards, principles of assessment and rules of evidence.
- b) Ensure that safety of the personnel involved in the assessment is maintained at all times.
- c) 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.
- d) Ensure the assessment process is open, structured, consistent and comprehensive incorporating feedback to the learner on the outcomes of the assessment process, as well as information regarding the appeals procedure and guidance on other options.
- e) Interpret and understand the performance criteria and evidence requirements.
- f) Select appropriate assessment methods and materials.
- g) Make fair and objective judgements.
- h) Abide by the Assessor Code of Conduct.
- i) Provide all relevant paperwork to administration for processing in a timely manner.

## 6. Appeals

Learners have the right to appeal an assessment decision. (See **Assessment Appeals Policy**)

## 7. Access and Equity

Learners have fair and equal rights to assessment. (See **Access and Equity Policy**)

## 8. Records Management

All completed assessment items for all learners will be kept by Transforming Training 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 **Records Management Policy**.

## 9. Monitoring and Improvement

All Assessment practices are monitored by the Principal of Transforming Training and areas for improvement identified and acted upon. (See **Continuous Improvement Policy**)