

# ASSESSMENT AND EVIDENCE COLLECTION POLICY AND PROCEDURE

## PURPOSE

The Central Coast Community College (the College) recognises that well designed and implemented assessment plays an integral role in helping students achieve successful outcomes.

The purpose of this policy is to ensure that the College's assessment system is based on sound assessment principles and supports students' needs and includes that:

- assessment decisions are based on the assessment of skills and knowledge compared with units of competence drawn from industry Training Packages
- the target industry or enterprise requirements are contextualised and integrated within the assessment
- assessment is conducted in accordance with the principles of assessment
- evidence is gathered that meets the rules of evidence

## APPLICATION OF THE POLICY

The Assessment Policy applies to all:

- Training qualifications and units of competency recognised within the Australian Qualifications Framework offered by the College
- assessment carried out by assessors working for the College and its related entities; and
- assessment under the auspice of the College or any of its subsidiary entities under partnership arrangements

## DEFINITIONS

**AQF** means Australian Qualifications Framework

**Assessment** means the on-going process of gathering, analysing and reviewing evidence, making informed and consistent judgements about whether a student can perform a specific competency to the required standard

**Assessment methods** means how the evidence is gathered to show the student has achieved the specified outcomes. Methods must be valid and appropriate with respect to the relevant assessment criteria

**Assessment tools** means the instruments and procedures used to gather and interpret evidence relevant to assessment

**Competency** comprises knowledge, skills and attitudes and the consistent application of that knowledge, skills and attitudes to the standard of performance set by the relevant training package or accredited course. Competency includes:

- consistent application and knowledge and skill to the required level
- organising one's tasks
- responding and reacting appropriately to the unexpected
- fulfilling the role expected in the workplace or educational institution; and
- transferring skills knowledge and attitudes to new situations

**Dimensions of competency** are parts of the broad concept of competency. There are four dimensions of competency:

- task skills – performing the task/job to the required standards
- task management skills – ability to do more than one thing at a time and manage the tasks correctly
- contingency management skills – responding appropriately to breakdowns in routine within a job or workplace
- job/role environment skills – ability to deal with the responsibilities and expectations of the work environment

**Elements of competency** means the major components of each unit of competency. They describe, in output terms, things that staff who work in a particular workplace are able to do.

**Employability skills** means skills that apply across a variety of jobs and life contexts. They are sometimes referred to as key skills, core skills, life skills, essential skills, key competencies, necessary skills and transferable skills.

**Learning outcomes** describe what the student can do on completion of a module

**Performance criteria** are evaluative statements that specify the required level of performance

**Training Package** is a set of nationally endorsed standards and qualifications for recognising and assessing people's skills in a specific industry, industry sector or enterprise. They are developed by Skills Service Organisations (SSOs)

**Units of Competency** are developed by industry to meet the identified skill needs of industry. Each unit of competency identifies a discrete workplace requirement and includes the knowledge and skills that underpin competency as well as language, literacy and numeracy, and work health and safety requirements. The units of competency must be adhered to in assessment to ensure consistency of outcomes

**VET** means Vocational education and training

**VQF** means VET Quality Framework

## POLICY STATEMENT

This policy aims to ensure that:

- quality assessment outcomes are achieved through developing assessment processes and instruments based on the principles of assessment (fairness, flexibility, validity, reliability)
- evidence requirements for assessment purposes are based on the rules of evidence (validity, sufficiency, authenticity and currency)
- students are provided with appropriate access to relevant forms of assessment, including recognition; and
- students are supported throughout the assessment process

## PROCEDURES

**Prepare for assessment:** The assessor is to:

- Establish the context and purpose of the evidence to be collected
- Identify and analyse the units of competency, Training Package and the assessment strategy to identify the evidence requirements; and
- Review the assessment tools and confirm their currency and adequacy in meeting the rules of evidence

**Prepare the student.** The assessor meets with the student to:

- Explain the context and purpose of the assessment and the assessment process
- Explain the units of competency to be assessed and the evidence to be collected
- Outline the assessment procedure and the preparation the student should undertake, and answer any questions
- Assess the needs of the student and, where applicable, negotiate reasonable adjustment for assessing people with disabilities without compromising the competency outcomes
- Seek feedback regarding the student's understanding of the units of competency, evidence requirements and assessment process; and
- Determine if the student is ready for assessment and, in consultation with the student, decide on the time and place of the assessment

**Plan and prepare the evidence-gathering process.** The assessor must:

- Establish a plan for gathering sufficient quality evidence about the student's consistent performance to make the assessment decision
- Source or develop assessment materials to assist the evidence-gathering process
- Organise equipment or resources required to support the evidence-gathering process; and
- Coordinate and brief other staff involved in the evidence-gathering process

**Collect the evidence and make the assessment decision.** The assessor must:

- Establish and oversee the evidence-gathering process to ensure its validity, reliability, fairness and flexibility
- Collect appropriate evidence and match compatibility to the elements, performance requirements, knowledge requirements and evidence and assessment requirements in the relevant units of competency

- Evaluate evidence in terms of the four dimensions of competency – task skills, task management skills, contingency management skills and job/role environment skills
- Incorporate allowable adjustments to the assessment procedure without compromising the integrity of the competencies
- Evaluate the evidence in terms of validity, consistency, currency, authenticity and sufficiency
- Consult and work with other staff, assessment panel members or technical experts involved in the assessment process
- Record details of evidence collected; and
- Make a judgement about the student's competence based on the evidence and the relevant unit(s) of competency

**Provide feedback on the assessment.** The assessor must provide advice to the student about the outcomes of the assessment process. This includes providing the student with:

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

**Record and report the result:**

- The assessor must record the assessment outcome according to the policies and procedures of the College as soon as practicable after completing assessment of the unit
- The assessor must submit the marked assessment tools and associated evidence to the RTO Manager or their delegate within seven (7) days of completing assessment of the unit
- The RTO Manager or their delegate will informally review the evidence submitted and, if the records are in order, will enter the outcomes against the student enrolment in the SMS
- The RTO Manager or their delegate is responsible for ensuring these records are reported to the relevant government department in line with the RTO registration requirements and with State Funding Contracts
- Ongoing management and archive of these records is maintained by the RTO Manager or their delegate
- All staff must maintain the confidentiality of the assessment outcome; and
- RTO Manager or their delegate will organise the issuance of statements of attainment according to the policies and procedures of the College

**Review the assessment process.** On completion of the assessment process, the assessor must:

- Review the assessment process
- Report on the positive and negative features of the assessment to those responsible for the assessment procedures; and

- If necessary, suggest to appropriate College staff ways of improving the assessment procedures through raising a Continuous Improvement Report or by providing input to the next scheduled assessment validation

**Participate in the reassessment and appeals process.** The assessor must:

- Provide feedback and counselling to the student if required, regarding the assessment outcome or process including guidance on further options
- Provide the student with information on the reassessment and appeals process
- Report any assessment decision that is disputed by the student to appropriate College staff; and
- Participate in the reassessment or appeal according to College policies and procedures

The College ensures that assessments are designed and developed to meet the Training package requirements. The TAS will outline the implementation of the following components.

## PRINCIPLES OF ASSESSMENT

In the delivery of assessment services, the College applies the principles of assessment to ensure:

### Fairness

Fairness means that the assessment will not disadvantage any person and will consider the characteristics and individual needs of the person being assessed. It requires clear communication between the assessor and the student to ensure that the student is fully informed about, understands and can participate in the assessment process. It also includes an opportunity for the person being assessed to challenge the result of the assessment and to be reassessed if necessary.

### Flexibility

Flexibility means that the assessment tasks, tools and processes allow for assessment in a range of assessment contexts. To be flexible, assessments should:

- Consider the student's needs
- Provide for recognition of competencies no matter how where or when they have been acquired
- Draw on a range of methods appropriate to the competency and the student
- Support continuous competency development

### Reliability

Reliability means that the assessment tool and process will produce consistent outcomes when applied by a range of assessors in a range of contexts. Assessors must have the competencies in assessment and the relevant vocational competencies (or to assess in conjunction with someone who has the vocational competencies) and need to share a common interpretation of the assessment requirements of the unit(s) being assessed.

### Validity

Assessment is valid when the process is sound and assesses what it claims to assess. Validity requires that assessment covers a broad range of the essential skills and knowledge relevant to the unit and that it is integrated into practical activity.

In general, validity is concerned with the appropriateness of the decisions, use and consequences that result from the assessment. It is concerned with the extent to which an assessment decision e.g. competent/not yet competent, is justified based on the evidence of performance.

It requires determining conditions that weaken the truthfulness of the decision, exploring alternative explanations for good or poor performance, and feeding them back into the assessment process to reduce errors when making inferences about competence.

## ASSESSMENT METHODS

The assessment process includes the gathering of evidences to demonstrate student's competence. Students will be advised of the assessment requirements at the beginning of each unit.

- Each unit has an individual assessment tool and mapping document which establishes detail assessment methodologies including:
  - Outline of the assessment methods
  - Instructions for the assessor
  - Instructions for the students
- Each unit has a Marking Guide which is provided to the Assessor, to ensure consistency in judgement. Marking Guide aims provide clear instructions and guidance to the assessment process and the criteria to base judgment of competence
- All assessment tools for each unit of competency are mapped in accordance with the Assessment Validation Policy and Procedure to:
  - Meet unit, Element and Performance Criteria requirements
  - Cover the performance and knowledge requirements
  - Cover Specific Assessment Requirements as listed in each individual unit of competency

**Formative assessment** provides students with ongoing feedback as they develop their knowledge and skills. Assessors can also use formative assessment to diagnose and establish learning needs. Evidence of formative assessment include observation checklists, quizzes and group activities.

**Summative assessment** encompasses the tools and processes used to gather evidence that the assessor will use to decide if the student has reached the required competency standard. Summative assessment usually involves several assessment events that measure differing aspects of competency. It will normally occur near to or after the face to face training component of a unit/program of study.

## ASSESSMENT PROCEDURES

- All assessments are summative assessment, which requires each student to have adequate practice prior to undertaking this assessment
- Assessors, when deeming a student competent, must have judged evidence collected to also have met the requirement of the Dimensions of Competency and be certain that the student can consistently apply and transfer the skills and knowledge covered into new work situations.
- Each assessment maintains at a minimum, three types of appropriate evidence to verify the student's competence for each element within a unit, which addresses the knowledge and the performance requirements of the unit
- At least one of these evidence pieces will be a form of direct evidence – it should be noted that evidence pieces may overlap elements and units within the course
- To determine the student's skills and knowledge in a unit of competency, a qualified trainer and assessor will conduct assessments using a variety of evidence gathering techniques including:
  - Written/Verbal Questions
  - Observation/Demonstration
  - Analysis/Reports
  - Project/Research
  - Problem Solving
  - Documentation

## BENCHMARKS FOR ASSESSMENT

The College uses units of competence drawn from nationally endorsed industry Training Packages as the primary benchmark for assessment. Supporting this are industry standards or codes of practice. These and other industry specific publications inform the context and standard of performance during assessment.

To identify the precise assessment criteria, the College applies a methodology of unpacking a unit of competence to assess the full scope of the unit including elements of competence and performance criteria, incorporating the specific assessment requirements and evidence guide. This process ensures that our assessment strategies accurately reflect the requirements of the relevant training package.

## ENGAGEMENT WITH INDUSTRY

The College is well placed to leverage current industry associations to incorporate industry requirements into the assessment process. Consultation with businesses or industry will provide information about assessment requirements relevant to workplaces. Regulatory requirements that relate to specific units of competence will be incorporated to ensure our students are well prepared for their workplace duties.

## ASSESSMENT CONTEXT

The College recognises the importance of establishing the right context for students during their assessment. Assessment context refers to the physical and non-physical environment in which skills and knowledge are assessed. The non-physical environment refers to things such as workplace policy and procedure, workplace tempo and culture. Many units of competence may be applied in any workplace. It is the College's responsibility to ensure that students are provided with the right context to undertake their assessment activities. To achieve this, the following strategies are applied:

- Incorporation of a simulated workplace's policies and procedures into the assessment scenario or activity
- Conduct of the assessment in the student's workplace performing real workplace tasks.
- Simulated tasks based on real workplace tasks
- Integration of relevant industry codes of practice and other industry information into the assessment activity
- Incorporation of industry job descriptions for students to align with during realistic simulated workplace scenarios and case studies
- Incorporation of regulatory information relating to licensing which applies to some qualifications
- Tailoring the program outcomes to meet the organisational training needs of the business without compromising the Training Package requirements
- Creating assessment activities which require the student to conduct specific research relating to industry situations and occurrences
- Provide a realistic simulated workplace within the College facilities

### **ASSESSMENT REVIEW AND ACCEPTANCE:**

Assessment review and acceptance procedure includes the implementation of the following components:

1. **Number of Attempts** – If a student is unable to demonstrate competence at a given time, they will have two more opportunities to be re-assessed. If, on the subsequent attempts, competency has not been achieved, the student will be deemed 'Not Yet Competent' and will be required to undergo additional training. Only after completion of this additional training will the student be re-assessed.

Note: Changes may be required to be made to the student's enrolment in the unit and additional fees may apply.

2. **Reasonable adjustment** – Assessment practices will be inclusive and in support of equity principles. Reasonable adjustments may be made to assessment tasks or methods, to minimise disadvantage to individuals or groups. However, these adjustments will not compromise the integrity of the competency standard. Reasonable Adjustment Form is to be maintained in this instance stating the adjustment.
3. **Authentication of Assessment** – The College Assessments have built-in authentication processes within all assessments which includes declaration by students for all submitted written and project work.



4. **Assessment decision** – On completion of each individual assessment task, the task will be deemed to be either:

- Satisfactorily completed, or
- Unsatisfactorily completed

All assessment tasks will accumulate to a final assessment outcome for each unit of competency and this final judgement of competence will be recorded as:

- C – Competent, or
- NYC – Not Yet Competent

All assessment tasks must be completed satisfactorily for the student to be deemed competent and the final assessment decision will be communicated to the student.

5. **Assessment Appeal** – If a student seeks to appeal an assessment outcome they can do so in accordance with the Complaints and Appeals policy and procedure.

6. **Re-Assessment Conditions** – Re-assessment may occur at any time after the initial assessment task is deemed unsatisfactorily completed and shall be arranged between the assessor and the student to ensure conditions are consistent with the original assessment.

### REASONABLE ADJUSTMENT

Assisting students to achieve quality educational outcomes relies on the College considering and supporting individual student's needs. Within assessment, this may include making reasonable adjustment to assessments or assessment conditions for a student with specific needs. Reasonable adjustment may include administrative, environmental or procedural alterations.

Applying reasonable adjustment provides a student with specific needs the opportunity to study effectively and on the same basis as everyone else. To be reasonable, adjustments must be appropriate for the student, must be allowable within the training package or accredited course guidelines, and must maintain the integrity of the assessment outcome.

Reasonable adjustment may be allowed in cases such as, but not limited to:

- a temporary or permanent illness, injury or medical condition
- an acquired or congenital condition or disability
- a specific learning disability such as dyslexia
- religious, cultural, literacy or linguistic needs
- compassionate grounds
- community service such as emergency or jury service

Reasonable adjustment in an assessment may include, but is not limited to:

- an extension of time to complete an out of class assessment
- additional time to complete an in-class assessment
- rest or time breaks during the assessment
- substitute assessment activities

- a scribe (writer)
- an interpreter for a student who is deaf or has a hearing impairment
- support of a personal assistant
- an alternative venue for a student with physical disability or mobility restriction
- access to an annotated bi-lingual dictionary
- adaptive technology equipment
- enlarged text, or a change from written to verbal assessment for a student with literacy needs, including questions on audio CD or digital file

Students seeking reasonable adjustment must discuss their requirements with their assessor at least one week before the scheduled assessment event. The assessor must consult with the RTO Manager before making any adjustments. The RTO Manager may request documentary evidence of the grounds for reasonable adjustment if this has not been provided previously. The RTO Manager must advise the outcome of the request as soon as practicable and must provide the assessor with support to make necessary adjustments. If reasonable adjustment is denied, the student may appeal that decision using the College's assessment processes, decisions and results.

The RTO Manager must document in the student's file any request for reasonable adjustment, the response given, adjustments made and any appeals/outcomes. All information and supporting documentation provided in an application for reasonable adjustment must remain confidential.

## RULES OF ASSESSMENT EVIDENCE

In collecting evidence, the College applies the rules of evidence to inform the assessment strategy. Assessment strategies have been designed to ensure:

**Sufficient** – the assessor is assured that the quality, quantity and relevance of the assessment evidence enables a judgement to be made of a student's competency

**Authenticity** – the assessor is assured that the evidence presented for assessment is the student's own work

**Current** – 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

**Valid** – the assessor is assured that the student has the skills, knowledge and attributes as described in the module or unit of competency and associated assessment requirements.

## COLLECTING INDUSTRY EVIDENCE

A high value is placed on the assessment evidence that is gathered by supervisors or employers in the workplace. This evidence is usually very current and valid and contributes to the assessment decisions made by a qualified assessor.

In addition to this, during the development of assessment tools, assessors are to ensure that the observation criteria used within industry evidence reports is wholly task orientated. These observation criteria should reflect the tasks that the supervisor would issue to staff and monitor during normal workplace duties. The industry evidence report is not to contain assessment criteria drawn from an industry Training Package as these assessment criteria are suitable only for trained and qualified assessors.

## TYPES OF EVIDENCE

Evidence is information upon which an assessor makes a judgment of competency and may include:

- Direct demonstration/observation: Performance of a task, or range of tasks, either in the workplace or in a simulated work environment, witnessed directly by an assessor
- Indirect demonstration: Use of photographs, videos, etc. showing performance of a task when the assessor cannot be present. This evidence can only be used as a third piece of evidence and must be supported by two direct pieces of evidence.
- Products: Models, items, objects that have been made, fixed or repaired by the candidate
- Workplace documents: Rosters, budgets, reports, standard operating procedures etc. developed or complied with by the candidate and provided to the assessor
- Questions - written/verbal: Asking the candidate about real or hypothetical situations to check understanding, task management and contingency management skills. May be short answer, discussion, multiple choice, etc. A record of verbal questions and responses must be recorded
- Assignments: Projects, reports, essays, etc. relevant to the LLN requirements of the unit of competency
- Third party reports: Documented and verified reports from supervisor, colleague, subject expert, trainer or others. This can only be used as a third piece of evidence
- Self-assessment: A candidate's personal statement on their performance (not sufficient in isolation)
- Simulation: Simulated activity to accommodate difficult to demonstrate criteria e.g. emergencies, contingencies, difficult behaviour etc.
- Portfolios: Collections of evidence compiled by the candidate

## DUE DATES, RESUBMISSIONS AND EXTENSIONS

- Students will usually be informed of due dates for their assessments at the beginning of the unit of study. In some cases, it is not possible to specify all due dates and in these situations the assessor must inform the students of an upcoming event within a reasonable timeframe to allow students to prepare for the assessment event.
- Where a student is not able to meet the nominated time for submitting their assessment or for participating in a timetabled assessment event, they may seek an extension of time or deferral from their assessor. The extension may be granted at the assessor's discretion in consultation with the RTO Manager responsible for the study program. Certain funding requirements may prevent the College from allowing extensions of time, and where this is

the case, the assessor must advise all students of the situation at the beginning of the program of study.

- Students may be asked to resubmit their assessment if the original did not satisfactorily demonstrate that the requirements were met. Students have a right to one resubmission per assessment. Further resubmissions may be authorised by the Coordinator responsible for the program.
- Authorising further resubmissions will usually occur when special circumstances apply (such as sickness, compassionate grounds or employment obligations), the student is a social inclusion client with specific support and learning needs, or the resubmission is required to address a minor omission.
- Extensions, deferrals and due dates for resubmissions must all be recorded in the student's documentation.
- In the case where a student does not attend a timetabled assessment event, a deferred assessment event, submit or resubmit their assessment work on the agreed due date, a not yet competent or withdrawn assessment result will be recorded.

## RECORDING ASSESSMENT OUTCOMES

Assessment results shall be recorded as follows:

Outcome	Abbreviation	AVETMISS code	Use for students who have:
Competent	C	20	The enrolled student has been assessed and satisfied <b><u>all</u></b> requirements in the UoC
Not Yet Competent	NYC	30	The enrolled student has attempted <b><u>all</u></b> assessment tasks and has been assessed as not satisfying all the requirements of the UoC – they have completed and submitted all required tasks however, do not demonstrate competence
Withdrawn	W	40	The enrolled student has participated in <b><u>some</u></b> of the learning activity, but then notified the RTO of their withdrawal from the program before completing all assessment requirements.  Or  The enrolled student has participated in <b><u>some</u></b> of the learning activity, but then

Outcome	Abbreviation	AVETMISS code	Use for students who have:
			stopped attending or submitting without notifying the RTO. In this case, the student has not completed all assessment requirements and has not formally withdrawn – even if the student has completed and been assessed as Not Yet Competent in one or more assessments
Recognition of prior learning granted	RPL	51	The enrolled student has applied for RPL and have been assessed as satisfying all the requirements of the UoC
Credit transfer	CT	60	The enrolled student has completed an equivalent UoC from a previous course of study and has produced an original transcript or Statement of Attainment identifying that UoC
Continuing enrolment	CE	70	The enrolled student has not yet completed all the training and assessment activities for the UoC by 31 December in the year of enrolment and they intend to continue their study program into the following year

### RELATED DOCUMENTS

Development of TAS Policy and Procedure

Delivery of Training Policy and Procedure

Consultation of Industry Policy and Procedure