Training and Assessment Policy

Scope: This policy covers Holmes Institute Pty Ltd's RTO operations.

Purpose: to clarify the process of assessment, including assessment pathways, results, appeals, and relevant administration.

Policy Principles: Assessment is the process of collecting evidence and making judgements on whether competency has been achieved to confirm that an individual can perform to the standard expected in the workplace, as expressed by the relevant endorsed industry/enterprise competency standards of a Training Package or by the learning outcomes of a VET accredited course.

This policy and related procedures ensure that assessment conducted meets the Rules of Evidence and the Principles of Assessment.

Responsibility: VET National Program Manager

DEFINITION OF ASSESSMENT

What is competency assessment?

Within the VET sector all assessments relating to Training Packages are assessments of competency.

Competence is defined in terms of 'the ability to perform particular tasks and duties to the standard of performance expected in the workplace. Competency requires the application of specified skills and knowledge relevant to effective participation in an industry, industry sector or enterprise.' This requirement, together with the need for validity and for the preservation of the integrity of assessment prohibits the use of surrogates—the student must perform tasks him or herself before they can be judged competent. An assessor must observe the performance of the application of skills and knowledge in a context that is indistinguishable from a real workplace, reflecting the dimensions of competency including the task skills, task management skills, contingency management skills and job/role environment skills.

What standards are students assessed against?

In order to assess whether a student is competent, they are 'judged' against established standards (often called benchmarks). These standards have been developed by industry and are called competency standards. Competency standards may also be referred to as units of competency.

Competency standards are documents that define the competencies required for effective performance in the workplace in specific industries. Competency standards include the essential information needed to assess a student. Some enterprises have developed specific competency standards for their business.

HOLMES WILL QUALITY ASSURE ITS ASSESSMENT STRATEGIES BY:

- Ensuring information collected through consultation with industry includes regulations or laws governing the industry and/or standard operating procedures, equipment and machinery used at the enterprise level

- Ensuring information collected through consultation with industry includes information about the work environment (for example, shifts or seasonal changes to schedules) that will affect delivery and assessment accommodated in training and assessment.

- Providing a means to continually improve assessment processes and tools that are consistent with the requirements of industry and enterprise

- Encouraging consistent application of training packages/accredited courses competency standards in industry

- Fostering the development of industry networks and the exchange of information with industry and enterprise

- The development of assessment exemplars that incorporate industry consultation and endorsement

- Ensuring each strategy is monitored and improved through effective consultation

- Enabling Assessors to keep up-to-date with what's happening in their industry areas

FORMS OF ASSESSMENT

Training and assessment pathways

These are situations in which the student undertakes a structured program of training and assessment in an on the job environment, an off the job environment or in a combination of on and off the job environments. These pathways are particularly suited to apprenticeships, as students may be provided with an appropriate mix of formal training and structured work experience.

This type of pathway is most suited when formative approaches to assessment are to be used. In this situation training and assessment are integrated, assessment evidence is collected and feedback is provided to the student on an ongoing basis. It is through this combination of training and assessment that the student acquires the skills and knowledge identified in the relevant competency standards.

Assessment-only pathways

These are situations in which there is no structured training and the student is simply required to provide current, quality evidence of their attainment of the relevant units of competency.

This type of pathway may operate in both on and off the job environments. This pathway is likely to be most appropriate for existing workers, individuals with overseas qualifications and recent migrants with established work histories. In such cases it may be appropriate for assessors to use summative approaches to assessment.

In this situation, the student presents evidence that he or she possesses the required skills and knowledge identified in the relevant competency standards and the assessor makes a judgement on whether the student is competent. Summative approaches to assessment may be directed by the student, such as in the compilation of portfolios, or by the assessor, such as observation of workplace performance, demonstrations of skills and oral and written testing.

Combination of 'training and assessment' and 'assessment only' pathways

These situations involve a mixture of 'training and assessment' and 'assessment only' pathways. These arrangements are particularly useful when students have already gained competencies through work and life experience but also require access to training in new areas of competence. In such situations, the student may undertake an initial assessment to determine their current competence using an

'assessment only pathway'. Having identified the student's current competence, a structured training and assessment program may then be established to ensure that the student acquires the required additional competencies – this would be achieved through a 'training and assessment pathway'.

National Recognition

Each of these assessment pathways leads to full recognition under the Australian Qualifications Framework. As such, an individual may gain a full qualification or a Statement of Attainment by using any one or combination of the pathways described above.

WHAT SORT OF EVIDENCE IS COLLECTED?

Assessment involves collecting evidence. This evidence may be direct evidence (such as observation of workplace performance), indirect evidence (such as formal testing) or supplementary evidence (such as references from employers). An assessor when making a judgement about whether the student is competent uses this evidence - to be in line with the Training and Assessment Strategy.

It is the responsibility of the assessor to determine what and how much evidence is required to make the assessment judgement. Training Packages provide guidance on the types of evidence required and further advice may be gained through moderation and industry consultation.

REASONABLE ADJUSTMENT

Legislative requirements (Commonwealth and State)

A legislative and regulatory framework underpins and supports the delivery of education, training and employment services. Providers in the VET sector are also required to comply with anti-discrimination legislation. This section lists the relevant Acts of Parliament and other regulatory frameworks and summarises their implications for service providers in the VET sector. For comprehensive details the reader is directed to the websites providing the full text of relevant legislation, regulations and standards.

The Commonwealth Disability Discrimination Act (1992)

The Commonwealth Disability Discrimination Act (DDA) seeks to eliminate, as far as possible, discrimination against people with disability. Under section 22 of the Act, it is unlawful for an

education authority or provider to discriminate against a person or an associate of that person on the ground of the person's disability. The Act provides for the formulation of the *Disability Standards for Education (2005)* which elaborate legal obligations in relation to education and training. It is unlawful to contravene a disability standard, and complaints of alleged contravention can be made to the Australian Human Rights Commission (AHRC).

Definitions under the DDA

Disability refers to:

- total or partial loss of a person's bodily or mental functions, or
- total or partial loss of a part of the body, or
- the presence in the body of organisms causing disease or illness, or
- the presence in the body of organisms capable of causing disease or illness, or

- the malfunction, malformation or disfigurement of a part of the person's body, or
- a disorder or malfunction that results in the person learning differently from a person without the
- disorder or malfunction, or
- a disorder, illness or disease that affects a person's thought processes, perception of reality,
- emotions or judgement or that result in disturbed behaviour.

And includes a disability that:

- presently exists, or
- previously existed but no longer exists, or
- may exist in the future, or
- is imputed to a person

There are limits to how far the training and assessment can be adjusted. The *Disability Standards for Education (2005)* indicate that:

" … the provider is entitled to maintain the academic requirements of the course or program, and other requirements or components that are inherent in or essential to its nature." (Section 3.4 (3), p.15). It also notes that:

"… a provider may continue to ensure the integrity of its courses or program and assessment requirements and processes, so that those on whom it confers an award can present themselves as having the appropriate knowledge, experience and expertise implicit in the holding of that particular award." (Note to 3.4 (3), p. 15).

RTOs are required to make a judgement about what is reasonable adjustment and what is not. The definition of 'reasonableness' of any adjustment relates both to:

- the impact on the training organisation and other students
- the extent to which adjustments can be made without damaging the integrity of the industry standard and the certification that follows.

CONTEXTUALISATION

RTOs can contextualise units of competency to make them more relevant and meaningful to students and enterprises. However, they must do this in line with the rules in the Training Package.

Units of competency will be contextualised to reflect local outcomes if and when required. Contextualisation could involve additions or amendments to the unit of competency to suit particular student profiles and/or specific enterprise equipment requirements. In the event of any contextualisation, the integrity of the overall intended outcome of the unit of competency will be maintained.

Any contextualisation of units of competency in the endorsed Training Package will be within the bounds of the following advice. In contextualising units of competency, the Institute:

- will not remove or add to the number and content of elements and performance criteria
- may add specific industry terminology to performance criteria where this does not distort or narrow the competency outcomes

may make amendments and additions to the range statement as long as such changes do not diminish the breadth of application of the competency and reduce its portability, and/or may add detail to the evidence guide in areas such as the critical aspects of evidence or resources and infrastructure required where these expand the breadth of the competency but do not limit its use.

ASSESSMENT TOOL DEVELOPMENT – MEETING THE PRINCIPLES AND RULES

Holmes Institute implements an assessment system that ensures that assessment (including recognition of prior learning):

- complies with the assessment requirements of the relevant training package or VET accredited course; and
- is conducted in accordance with the Principles of Assessment and the Rules of Evidence

What is an assessment tool?

Assessment tools are materials that enable an assessor to collect evidence using their chosen assessment method.

Assessment tools are the instruments and procedures used to gather and interpret evidence of competence:

- The **instrument** is the activity or specific questions used to assess competence by the assessment method selected. An assessment instrument may be supported by a profile of acceptable performance and the decision-making rules or guidelines to be used by assessors
- **Procedures** are the information or instructions given to the student and the assessor about how the assessment is to be conducted and recorded.

PRINCIPLES OF ASSESSMENT

Fairness
The individual student's needs are considered in the assessment process.
Where appropriate, reasonable adjustments are applied by the RTO to take into account the individual student's needs.
The RTO informs the student about the assessment process, and provides the student with the opportunity to challenge the result of the assessment and be reassessed if necessary.
- At enrolment or prior to commencement of training, make recognition of prior learning available to all students. Ensure any required adjustments are made to the training and assessment program for that student.   - Consider the student's needs in the assessment process and make reasonable adjustments to

accommodate the student (such as providing oral rather than written assessment). However, don't compromise the rigour of the assessment process (e.g. if there is a requirement to complete documentation in a unit of competency, oral assessment would not be appropriate).

- Ensure the student is fully informed of the assessment process and performance expectations prior to the assessment being undertaken.

- If a student is unable to complete the required task to the level described in the assessment requirements, consider whether they need further training before being reassessed. Sound enrolment processes will help to identify the needs of students and avoid students being enrolled in a course that they will not be able to complete.

- Have an appeals process to provide an avenue for students to challenge an assessment decision and have it reviewed objectively.

Flexibility

Assessment is flexible to the individual student by:

- reflecting the student's needs;

- recognising competencies held by the Student 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.

- At enrolment or prior to commencement of training, make recognition of prior learning available to all students. Ensure any required adjustments are made to the training and assessment program for that student.

- Take the student into account in the assessment process, and recognise that they may already have demonstrated some aspects of the unit through other means. If individual students have demonstrated current skills and knowledge, they should not be required to be reassessed in those areas, unless the previous demonstration of skills or knowledge is in a significantly different context or environment.

- Use a range of assessment methods to help produce valid decisions and recognise that students demonstrate competence in a variety of ways.

Validity

Any assessment decision of the RTO is justified, based on the evidence of performance of the individual student.

Validity requires:

- assessment against the unit(s) of competency and the associated assessment requirements 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 student could demonstrate these skills and knowledge in other similar situations

- judgement of competence is based on evidence of student performance that is aligned to the unit(s) of competency and associated assessment requirements.

- As part of your assessment, require students to demonstrate skills and knowledge across a range of environments and contexts relevant to the unit or module. Assessing in a variety of contexts shows that the student is able to apply the skills and knowledge in other situations, and can apply their knowledge in a practical way.

- Ensure that assessment tasks and methods match assessment requirements. For example, if assessing a practical skill such as keyboarding, questions about how a keyboard operates may not be valid as this knowledge is not required in order to carry out the task. Instead, use questions that demonstrate knowledge of why the student is doing the task in a particular way.

Reliability

Evidence presented for assessment is consistently interpreted and assessment results are comparable irrespective of the assessor conducting the assessment.

- Make assessment decisions consistently across different students and different assessors in the same unit or module.

- Have a well-designed assessment system that includes measures to minimise variation between assessors. The same evidence presented by different students or to different assessors should result in the same decision.

- Develop evidence criteria (i.e. decision-making rules) to judge the quality of performance. This will help assessors make consistent judgements about competence. Evidence criteria could include:

  - model answers (where appropriate)
  - descriptions of observations needed to assess skills and application of knowledge in a practical activity.

- Benchmarks for practical activities must necessarily be broad enough to allow for variations in the precise task being undertaken and any variations in the context, but must include 'observable behaviours'—the behaviours which must be exhibited by the student when carrying out the task.

RULES OF EVIDENCE

Validity

The assessor must be assured that the student has the skills, knowledge and attributes as described in the unit of competency and associated assessment requirements

- Ensure that evidence is directly related to the competency being assessed.

- Ensure there is a direct relationship between the assessment tasks or activities students undertake, the evidence presented and the assessment requirements.

Sufficiency

- The assessor must be assured that the quality, quantity and relevance of the assessment evidence enables a judgement to be made of a student's competency.
- The performance criteria and evidence guide are addressed; competence over a period of time is demonstrated; all dimensions of competency are addressed; competence in different contexts is demonstrated
- The quantity of evidence may vary between students. Some may take longer or need to complete a greater number of tasks to demonstrate competence. Others may, despite repeated opportunities, not be able to achieve competence.

Authenticity

The assessor must be assured that the evidence presented for assessment is the student's own work.

- Ensure that evidence gathered 'belongs' to the student being assessed and provides evidence of that person's skills and knowledge.
- Verify that the person you are enrolling, training and assessing is the same person that will be issued with a qualification or statement of attainment. This can be particularly challenging if you deliver distance training, including through online methods, where there are more opportunities for students to submit the work of others than there are in a 'traditional' classroom setting. This does not remove your responsibility to verify the identity of a student enrolled in a face-to-face course, but it is clearly easier to do this through direct interaction with the student. Regardless of the delivery method, you must be able to demonstrate how you have verified the identity of the student.
- If substantial portions of the evidence submitted are gathered through independent study (e.g. assignments or projects) rather than direct observation, consider using online systems to check work submissions for plagiarism and identical content in other submissions.

Currency

The assessor must be assured that the assessment evidence demonstrates current competency. This requires the assessment evidence to be from the present or the very recent past.

- Decide how valid the evidence is, given the time that has passed since the evidence was generated. Currency is important in determining if a student is competent. Currency is a particular risk with recognition of prior learning, as you may be presented with a range of evidence gathered over a number of years. This does not mean evidence that is not recent is not valid; however, you must ensure there is sufficient evidence of the person's competence at the time you make the assessment decision.
- Determine whether the evidence is recent enough to show the student is competent at the time you make an assessment decision. For example, a computer programmer who has 10 years' experience but has not been directly involved in hands-on programming work for the past three years may not have current skills in or knowledge of contemporary programming methods.

However, the programmer may be able to update their skills and knowledge though a 'gap training' program. This varies to some extent between industries and, as a person with current industry skills and knowledge an assessor is well placed to make this judgement.

FOUR STEPS TO QUALITY ASSESSMENT TOOLS

As with the design of all products, the quality of an assessment tool will depend heavily on the time and effort that goes into the research and development phases of its construction and the ongoing testing and refining of prototypes.

There are four simple steps in the design process:

Step One – Become familiar with the mandatory requirements of the assessment task/s.

Step Two – Fully understand the specified competencies to choose appropriate assessment method/s.

Step Three – Get down to business and devise the assessment tool/s.

Step Four – Trial and refine the tools, to help maximise confidence that the tool/s can be used flexibly and ensure valid, reliable and fair judgements of competency are made.

ASSESSMENT TOOL DEFINITIONS

Observation Checklist	This is a checklist completed by a workplace assessor while observing the student undertake real work activities at the workplace and demonstrate processes and/or the steps to produce products.
Written Questions	Written questions can be in a number of formats: 1) The student is to choose the correct answer, given multiple choices or true/false options or to match information with another set of given information 2) The student is to construct the answer themselves, as in short-answer responses or longer reports or essays.
Practical Demonstration	The student demonstrates competence by showing steps or processes used to produce a product or service at the workplace. The demonstration consists of assessor constructed practical demonstrations to test critical aspects of performance. Best practice requires a set of questions to be asked at the same time as the practical demonstration to assess the student's underpinning knowledge.
Workplace Simulation	The student demonstrates competence by way of demonstrating job specific skills off-the- job (e.g. training kitchen, 'simulated' workshop, industry training centre)

Project	The student demonstrates their skills and knowledge by way of the completion of a project. The project parameters may include research, report writing and presentation activities and is normally conducted over time and requires the student to collect information regarding an aspect or aspects of their learning – on occasion projects will be done in groups.
360º Feedback	360-degree feedback, also known as multi-rater feedback, multisource feedback or multisource assessment, is feedback that comes from all around an employee. "360" refers to the 360 degrees in a circle, with an individual figuratively in the center of the circle. Feedback is provided by subordinates, peers, and supervisors. It also includes a self-assessment and in some cases, feedback from external sources such as customers and suppliers or other interested stakeholders. It may be contrasted with "upward feedback," where managers are given feedback by their direct reports, or a "traditional performance appraisal," where the employees are most often reviewed only by their managers.
Case Study	A case study is a research method and is useful in ascertaining the students' problem solving techniques and underpinning knowledge. Case study methods involve an in-depth, longitudinal (over a long period of time) examination of a single instance or event: a **case**. They provide a systematic way of looking at events, collecting data, analysing information, and reporting the results. Not the same as written questions or scenarios.
Oral Presentation	Students demonstrate their competence via an oral presentation about an area of knowledge or their projects to a group that includes their assessor, their colleagues and any other interested parties.
Journal	The student maintains a journal that records learning activities, skills and knowledge acquisition. Journals are examples of assessment tools designed to encourage reflective, self-directed learning. In both cases, students are responsible for reflecting on their learning and development over time.
Problem Solving	Implementing problem solving techniques to analyse a product or process for problems or errors. Generally included in written questioning activities.
Video or Audio Tapes	The student provides video or audio recordings of their performance in the workplace that is subsequently reviewed by an assessor.
Assignments	Assignments are unsupervised pieces of work that often combine formative and summative assessment tasks. They form a major component of continuous assessment in which more than one assessment item is completed within a given timeline.
Scenario	Can be a written scenario or a type of role-play – for role-plays, see below. In the case of a written scenario, the student is required to read a 'script'

	and provide an appropriate written or verbal response. The assessor should assess the student's underpinning knowledge during this activity.
Role Play	The student is required to 'act out' a scenario to demonstrate appropriate responses to situations (e.g. meeting procedures, leadership techniques, conflict resolution, a client complaint, and management techniques). In some cases, the 'acting out' will demonstrate what not to do in certain situations. All role plays involving students should be scripted.
Portfolio	A portfolio normally comprises a written submission detailing the student's background, experience, training and qualifications that provide evidence to the assessor that the student has the skills and knowledge required by the unit of competency – can include samples of workplace documents.
Workplace Reports	May form part of the student's portfolio. Workplace reports are used to demonstrate on- the-job competence directly related to a unit(s) of competence. The assessor will support an assessment decision with workplace reports where applicable.
Interview	Students can demonstrate competence via a verbal interaction with the assessor. This can be a useful strategy to provide formative feedback to the student: for example, as a progress report of a negotiated assessment task to ensure that the student is on task and/or if they require further guidance to complete the task.

MARKING GUIDES

Assessment is integral to student learning. Marking Guides make explicit to the assessor, the criteria against which student work will be assessed and they can be a comprehensive and efficient feedback tool.

A Marking Guide has several advantages: it

- makes assessment processes open and accountable

- provides diagnostic feedback to students and staff on students' learning so far

- helps students develop, revise and produce better quality work: they do not have to guess what the assessor is looking for because the most valued outcomes of the assessment are clear

- improves comparability when there are several assessors

- can be re-used; the task or the content may change but the Marking Guide may be the same

When developing Marking Guides, Holmes Institute considers the following:

1. Decide the dimensions of performance or the essential elements that must be evident in high quality work. Note, that a student must score highly on all dimensions as well as overall.

    Competency comprises four dimensions:

    1. *Task skills* – performing the task to the required standard

    2. *Task management skills* – skills to plan and integrate a number of different tasks and achieve a work outcome

    3. *Contingency management skills* – the ability to respond to irregularities, breakdowns and other unanticipated occurrences

    4. *Job/role environment skills* – skills to deal with the responsibilities and expectations of the work environment

    5. *Transfer skills (not compulsory)*

6. Decide the levels of achievement for each task; at Holmes Institute, the term 'competent' is used.

7. Avoid having too many dimensions of performance or levels of achievement in each Marking guide as this may reduce the effectiveness and the efficiency of the approach.

8. For each dimension of performance, write clear performance descriptors (criteria) at each achievement.

9. Evaluate and revise accordingly. Few Marking Guides will be constructed perfectly the first time. Moderation of assessment tools will allow for quality assurance and improvement.

Evaluating Marking Guides

Holmes Institute will evaluate all Marking Guides to ensure:

- It measures the learning outcome(s) that need to be measured

- It measures all the important outcomes

- It aligns with the AQF level of sophistication

- It aligns with the level of Foundation Skills for the qualification

- The Marking Guide covers the important dimensions of performance

- The performance levels are well-defined

- There is sufficient distinction between each dimension

- Different assessors apply the Marking Guide consistently

- The Marking Guide is fair and free from bias

- The Marking Guide is useful, feasible, manageable and practical

- Students can easily interpret each of the descriptors

APPROVAL OF ASSESSMENT TOOLS

At the conclusion of the moderation/validation process, all assessment tools will be authorised for use by the National VET Program Manager.

They will be provided to Trainers/Assessors as an Assessor Guide for each unit. All Assessor Guides and related training materials are available on BlackBoard.

See Holmes Validation and Moderation Policy and Checklist for procedural requirements

COMPETENCY/NYC

What results do students get?

After someone has undergone all assessments of a unit of competency or skill recognition assessments, they are either deemed 'competent' or 'not yet competent'. If they are deemed competent (satisfactorily completed all assessments), they will be issued with either a Statement of Attainment listing the units of competency they are competent in or a full qualification. If they are deemed not yet competent, they will be given feedback on their performance. All students have the opportunity to appeal their results and be reassessed.

There are four forms of re-assessment that can be used where a student's assessment is assessed as "NYC", these are:

1. A re-submission of work or product as per the original assessment task evidence

2. A re-sit of the/written assessment

3. A repeated demonstration where a practical demo was required to meet evidence of a criteria checklist.

4. Other form of evidence agreed to by the assessor and student.

RESULTS OF ASSESSMENT /RECORDING RESULTS

The result/outcome of the assessment process is recorded via the student management system. Students are advised of unit results within 7 days of completion of assessments via Blackboard.

RESUBMISSION OF ASSESSMENT

Guidelines for Reassessment or Re-submission of Assessment Tasks

Students will have two opportunities to demonstrate competency for each assessment task. The student will only be eligible for a second attempt if they have submitted or conducted their first attempt within the timelines established by their assessor.

RE-SUBMISSION OF ASSESSMENT (NS)

Students who have been assessed as NS (Not Satisfactory) in the assessment will be given first attempt to re-submit the assessment to the Program Manager.

Students must re-submit the assessment before the end of the following delivery period (Block/Term).

SUPPLEMENTARY ASSESSMENTS –

Students who do not complete the re-submitted assessment satisfactorily in the first attempt must apply to sit supplementary assessment for the unit/s. Student must make an appointment to see the Program Manager to get details of the supplementary assessment. Supplementary fees may apply depending on the unit of competency.

If a student is not able to demonstrate competency in an assessment task on their second attempt (supplementary assessment), they will be required to repeat the unit of competency.

Repeat of a Unit of Competency

If a student is deemed Not Yet Competent (NYC*)* after two assessments, the student is required to repeat the unit of competency as per the scheduled delivery of the course.

ASSESSOR COMPETENCE

All trainers and assessors engaged by Holmes Institute will be required to meet the following criteria:

From the 1st July 2019, trainers and assessors must hold:

- TAE40116 Certificate IV in Training and Assessment or its successor **or**
- TAE40110 Certificate IV in Training and Assessment plus the following units:
    - TAELLN411 (or its successor) or TAELLN401A, and
    - TAEASS502 (or its successor) or TAEASS502A or TAEASS502B **or**
- a diploma or higher level qualification in adult education.

An adult education qualification has a focus on training and assessing adults. The qualification does not need to include the words 'adult education' in the title; however, units or subjects completed within the qualification need to demonstrate the skills and knowledge required to train adults. The academic transcript or record of results for the qualification will provide the evidence to demonstrate this.

Examples of adult education qualifications include:

- CASR Part 61 Flight or Simulator Instructor
- Army Recruit Instructor
- Graduate Diploma in Adult and Vocational Education and Training
- Graduate Diploma of Adult Language, Literacy and Numeracy
- Master of Education or Doctoral degree with an adult education focus.

Any person who provides **assessment only** (i.e. does not deliver training) **must** hold the:

- TAESS00011 Assessor Skill Set or its successor **or**
- TAESS00001 Assessor Skill Set, plus one of the following:

- TAEASS502 Design and Develop Assessment Tools, or
- TAEASS502A Design and Develop Assessment Tools, or
- TAEASS502B Design and Develop Assessment Tools. **or**
- TAE40116 Certificate IV in Training and Assessment or its successor **or**
- TAE40110 Certificate IV in Training and Assessment plus the following units:
    - TAELLN411 (or its successor) or TAELLN401A
    - TAEASS502 (or its successor) or TAEASS502A or TAEASS502B **or**
- a diploma or higher-level qualification in adult education.

Any person that conducts training under supervision must meet at least one of the following six requirements:

1. TAESS00003 Enterprise trainer and assessor skill set or its successor, or
2. TAESS00007 Enterprise trainer – presenting skill set or its successor; or
3. TAESS00008 Enterprise trainer – mentoring skill set or its successor; or
4. TAESS00013 - Enterprise Trainer - Mentoring Skill Set or its successor; or
5. TAESS00014 Enterprise Trainer – Presenting Skill Set or its successor; or
6. TAESS00015 - Enterprise Trainer and Assessor Skill Set or its successor

Each trainer that conducts training under supervision must also meet the following requirements:

- Vocational competencies at least to the level being delivered (actual qualification/unit not required)
- Current relevant industry skills

Trainers under supervision must be supervised by a qualified trainer and they must not determine assessment outcomes. All supervision activities must be recorded and filed in the supervised trainer's file.

Vocational competency

Vocational competency is defined as broad industry knowledge and experience, usually combined with a relevant industry qualification. A person who has vocational competency will be familiar with the content of the vocation and will have relevant current experience in the industry. Vocational competency must be considered on an industry-by-industry basis and with reference to any guidance provided in the relevant Training Package or Accredited Course.

Training Packages or Accredited Courses include advice specific to the industry related to the vocational competencies of trainers and assessors. This may include advice on relevant industry qualifications and experience required for training and assessing against the Training Package or Accredited Course. The Training Package or Accredited Course may also provide specific industry advice outlining what it sees as acceptable forms of evidence to demonstrate the maintenance of currency of vocational competency.

Co-assessment occurs when more that one assessor is required to assess competency of a student. For example, a technical expert may be required to ensure specific licensing and or regulatory requirements are met or that the student has special needs and a person with specialised skills is called upon to ensure that the assessment is equitable and fair and does not disadvantage the student from achieving competency.

INDUSTRY CONSULTATION

Holmes Institute will, on a regular basis, investigate the implications for assessment procedures and will ensure that the methodology for assessment is appropriate to the Training Package environment. In particular, the Institute will involve industry and enterprise directly in the development of the assessment methodology and to gain industry validation for assessment processes and documentation.

Holmes Institute will ensure that assessment events will be conducted in a standardised fashion and that standard assessment instruments and records will be developed.

The Institute's approach will be, on an on-going basis, to develop a standardised set of assessment instruments and recording process for compulsory or core competencies at a particular AQF level. We will consult with industry around the points listed below

The training course(s)

- how units are packaged to meet qualification requirements

- how pre-requisites and co-requisites are included

- the mode of delivery to be used (for example, online, classroom, on-the-job)

- the learning approaches or styles that will be used to suit the needs of students

- how the needs of groups or individual students will be met (for example, reasonable adjustment in assessment)

- a Recognition of Prior Learning (RPL) strategy, where units may be packaged for assessing students with prior experience.

Resources specified in each training and assessment strategy:

- the training and assessment materials that will be used

- the trainer and assessor competencies that are required

- the facilities and equipment that will need to be available or accessed, including industry placement arrangements

- simulated work environments to be used

- support staff or resources that may be required to meet the needs of students

- agreements for the use of resources and facilities.

Meeting the requirements of the Training Package or accredited course

- specific entry requirements, where these are noted in the Training Package or accredited course

- assessment guidelines and qualification packaging rules

- required trainer and assessor competencies

- assessment evidence requirements specified in the units of competency or modules.

Monitoring and improvements

- revised training and assessment strategies and training programs

- data on consultations with trainers and assessors, students, enterprise clients, industry organisations and, where relevant, licensing bodies; and the actions taken in response to such consultations

- records of staff meetings about training and assessment strategies and training programs, and the agreed actions.

Once the format for assessment instruments is finalised, documentation of the relevant competencies will be mailed out to representatives from each industry sector to invite comments on the specific details of the assessment instruments. (This process will happen on an annual basis)

Invitations will be extended to employers to observe assessment events and to give feedback on the relevance and appropriateness of the assessment process and eventually, to validate the assessment process. Refer to Validation Feedback Forms 2.A, 2.B and 2.C.

This will provide an opportunity for industry input re: comments and suggestions for improvements to specific assessment instruments. The final stage is to administer the instruments to Students and to use the recording and feedback documentation.

The main outcome from this process will be a set of exemplar assessment instruments and records of assessment.

These will be stored on the secure intranet (S://Vet/) and trainers and assessors will be advised via Blackboard to ensure that they are used whenever assessments of these competencies are carried out. Feedback and endorsement forms will also be collected from the employers and filed as a validation record.

The use of standardised documentation will also assist trainers and assessors to feel confident that planned assessments are appropriate and pitched at an appropriate standard. The development of standardised assessment instruments will also make it easier for Students to clarify and understand what would be expected of them in assessment events.

Finally, the process of working together and in close cooperation with industry and enterprise, will ensure that this approach to assessment will provide a transparent process which industry has validated and that Holmes Institute is providing quality assured, relevant industry training.

HOLMES INSTITUTE ASSESSMENT PROCEDURE

1. DEVELOP A TRAINING AND ASSESSMENT STRATEGY (TAS) FOR EACH PROGRAM

	ACTIVITY	RESPONSIBILITY	STEPS
1	Develop a Training and Assessment Strategy - TAS that clearly details the training and assessment activities and processes for each qualification on scope.	Program Manager	Document the amount and nature of training and assessment required for the student to gain the competencies as specified in the relevant Training Package or VET accredited course. Identify the assessment process and the assessment tool(s) and activities that will be employed.
2.	Address any reasonable adjustments or contextualisation requirements for assessments.	Program Manager	Clearly state in the documentation that reasonable adjustments can be made in terms of the way in which evidence of performance is gathered, however, the evidence criteria for making competent/ not yet competent decisions must not be altered in anyway. Develop the TAS to clearly identify in accordance with the principles of assessment and the rules of evidence, any adjustments that may be made to the way in which evidence of student performance can be collected for individuals or groups with special needs.
3.	Allocate Trainers/Assessors to units within the program.	Program Manager	Identify the staff delivering and assessing the programs and courses on each TAS and ensure they have completed a Trainer Skill Matrix.
4.	Provide Trainers/Assessors with information and professional development re: assessment system.	Program Manager	Ensure trainers, workplace supervisors, assessors and other stakeholders involved with assessment are aware of their roles and responsibilities through induction and a copy of this document is made available on request.

2. DESIGN AND DEVELOP ASSESSMENT TOOLS

	ACTIVITY	RESPONSIBILITY	STEPS
1.	Regularly review assessment tools for each qualification on scope	Trainer/Assessor Program Manager	Utilise Holmes' Validation and Moderation Policy and Checklist to validate assessment tools. This process must occur prior to the tools being used and post assessment. The principles of assessment and rules of evidence have been applied and the unit competency benchmarks have been met. The instructions for the assessor and the candidate clearly communicate the context and conditions of assessment. The instructions for the tasks to be administered are clear and outline evidence requirements. The assessment decision making rules and benchmarks are clear and enable consistent outcomes The recording mechanisms are clear and allow for sufficient information to be recorded The mapping of the assessment clearly demonstrates the validity of the assessment tasks. Where assessment tools are purchased, they too must undergo the validation process to confirm suitability.
2.	Review and design assessment tools	Trainer/Assessor Program Manager	Design assessment tools that reflect student needs and industry requirements and meet the assessment criteria as set out for the unit on training.gov.au Ensure that assessment activities accurately reflect, those identified in the Training and Assessment Strategy (TAS). Ensure assessment tools meet the principles of assessment and rules of evidence. Ensure industry has been consulted in the development of assessment tools to ensure the assessment is relevant and reflects current industry best practice. Maintain evidence of this. All personnel, such as workplace supervisors and assessors involved in the assessment are aware of their roles and responsibilities.

	ACTIVITY	RESPONSIBILITY	STEPS
			Any reasonable adjustment or specialist support required is in place.
4.	Develop Marking Guides	Trainer/Assessor	Assessment tools (Marking Guides) will detail students as being either 'Satisfactory' (S) or 'Not Satisfactory' (NS) at individual task level and 'Competent' (C) or 'Not Yet Competent' (NYC) at unit/course level Marking guides for all assessment tasks must detail expected responses and/or expected outcomes from activities to ensure reliability of assessment. This includes but is not limited to: 1. tasks that are question and answer based e.g. written tests, interview/oral questions 2. tasks that require observation of students completing a task and oral questioning relating to the observation 3. tasks that are project based, portfolios of evidence, reports, etc. 4. any on-line tasks (where applicable)

3. PLAN, PREPARE AND CONDUCT ASSESSMENT

	ACTIVITY	RESPONSIBILITY	STEPS
1	RPL	Program Manager/Trainer/Assessor	RPL is an assessment process agreed to prior to enrolment. Refer to Holmes' RPL Policy and Procedure
2	Credit Transfer	Program Manager/Trainer/Assessor	Students who request credit transfers must provide a certified copy of their original transcript. Approved Credit Transfers will be determined prior to enrolment.

	ACTIVITY	RESPONSIBILITY	STEPS
			Refer to Holmes' Credit Transfer Policy and Procedure
3	LLN Support	Trainer/Assessor	LLN support will be identified prior to enrolment during the Pre -Training Review.
4	Inform students of their rights, assessment due dates and conditions of assessment	Trainer/Assessor	Provide information to the student regarding all aspects of their training and assessment – this information is provided via the Student Handbook, Student Guides, Assessor Guides and the website - www.holmes.edu.au
5	Plan for the assessment	Trainer/Assessor	Confirm: • the student is ready for assessment • the assessment tools or materials have been trialled/validated with appropriate, experienced validators in advance • assessment procedures have been ratified with appropriate personnel in the industry/workplace or within the organisation • the time and place for assessment have been agreed with the student and any other relevant parties • the needs of the student have been determined and any reasonable or allowable adjustments have been made to the assessment • consider any contextualisation arrangements that should be put in place • all appropriate personnel are advised of the assessment
6	Apply Reasonable adjustment where applicable	Trainer/Assessor/Student	• Where applicable, make reasonable adjustments to ensure learners with a disability have the same learning and assessment opportunities as learners without a disability.

	ACTIVITY	RESPONSIBILITY	STEPS
7	Prepare for assessment	Trainer/Assessor	Confirm that all competency requirements are fully covered in the assessment activities by examining a number of sources of essential information including: 1. the elements of the unit(s) of competency, the performance and knowledge evidence, the range statement (where it exists), the evidence guide and assessment guidelines 2. the conditions of assessment are fully met and any and all resource or equipment requirements are in place 3. the dimensions of competency – the task, task management, contingency management and job/role environment skills 4. the foundation skills 5. the language, literacy and numeracy skill levels 6. the relevant Australian Qualifications Framework (AQF) descriptor **7.** related workplace processes, procedures and systems that help to contextualise the activity to be assessed. Include any legislative, WHS or legal requirements that may need to be considered when conducting assessment 8. the ability to transfer and apply skills and knowledge to new contexts 9. confirm that the type of evidence to be collected (formative/summative) will provide sufficient information to make an appropriate assessment decision
8	Conduct the assessment	Trainer/Assessor	Ensure: 1. the assessment is conducted in accordance with the Training and Assessment Strategy and the 'assessment plan' where required 2. evidence specified in the assessment procedure is gathered using the agreed tools or materials 3. re-confirm the student is clear regarding the details on the assessment activity and process –

	ACTIVITY	RESPONSIBILITY	STEPS
			refer them to the Student Guide as provided for each unit
			4. the assessment activity can be conducted in a safe manner
			5. evidence is gathered in accordance with reasonable or allowable adjustments where applicable and the adjustment does not compromise the integrity of the assessment
			6. evidence is evaluated in terms of validity, authenticity, reliability, sufficiency, currency and consistency
			7. assistance from more experienced assessors or industry experts is sought if appropriate
			8. the assessment decision is made in accordance with the specified criteria (Marking Guide)
			9. all associated assessment evidence is documented and recorded appropriately, in accordance with Holmes Institute's policy.
9	After Assessment	Trainer/Assessor	• Ensure that the Marking Guide has been fully completed and that all associated documents/paperwork that supports the assessment decision is gathered.
			• Ensure The Final Assessment Summary & Feedback Form has been completed and signed.
			• Confirm the assessment decision being either 'Satisfactory' (S) or 'Not Satisfactory' (NS) at individual task level and 'Competent' (C) or 'Not Yet Competent' (NYC) at unit/course level.
			• Provide verbal and written feedback on the student's performance
			• Feedback includes guidance on overcoming gaps in competency or further goals or training opportunities if appropriate
			• If the student wishes to appeal an assessment decision, refer to Holmes' Assessment Appeals Procedure in Student Handbook and on website.

5. MANAGING AND RECORDING RESULTS

	ACTIVITY	RESPONSIBILITY	STEPS
1	Enter Student Unit Assessment Results into Student Management System and provide student access on BlackBoard.	Trainer/Assessor/Program Manager	Ensure assessment results are recorded on Student Management system within 7 days of completing the assessment. Assessments are kept on file for 6 months after completion of unit. 'Competent' (C) or 'Not Yet Competent' (NYC) at unit/course level .
2	Enter Student Final Assessment Result into Student Management System	Program Manager	Ensure students assessment details are securely maintained for 6 months. For international students, ensure final assessment result is stored for 2 years in the student management system.

6. EVALUATION OF ASSESSMENT PRACTICE

	ACTIVITY	RESPONSIBILITY	STEPS
1	Evaluate feedback from current Industry consultation, student feedback, and training and assessment staff to inform, guide and improve a programs training and assessment strategy.	VET National Program Manager	Implement industry consultation and feedback gathered throughout the year to assist with informing the evaluation and to demonstrate how programs meet stakeholder needs. Review student feedback with strategies to improve delivery and assessment where applicable. Review trainer and assessor feedback to improve delivery and assessment and resourcing where applicable. Evaluate learning resources for currency and relevancy.