



THE UNIVERSITY OF  
**NOTRE DAME**  
A U S T R A L I A

# Procedure:

## (VET) Assessment

Effective: 12 December 2018

Audience: Staff

Policy Category: Academic  
Policy Sub-category: VET

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## Contents

1	PURPOSE.....	3
2	RELATED DOCUMENTS .....	3
3	TRAINING AND ASSESSMENT STRATEGY .....	3
4	INDUSTRY CONSULTATION AND VALIDATION.....	4
5	TRAINER AND ASSESSOR CREDENTIALS.....	5
6	INFORMING STUDENTS OF ASSESSMENT REQUIREMENTS AND MAKING REASONABLE ADJUSTMENTS .....	6
7	ASSESSMENT TASKS AND METHODS .....	6
8	WORKPLACE ASSESSMENTS .....	7
9	RECOGNITION OF PRIOR LEARNING .....	7
10	PRINCIPLES OF ASSESSMENT AND RULES OF EVIDENCE .....	7
11	ACADEMIC INTEGRITY.....	9
12	ASSESSMENT FEEDBACK.....	10
13	ASSESSMENT OUTCOMES.....	10
14	ASSESSMENT RECORDS.....	10
15	MODERATION .....	11
16	APPEALS.....	11
17	REVIEW OF ASSESSMENT TOOLS AND APPROACHES.....	11
18	RELATED FORMS AND TEMPLATES.....	11
19	DEFINITIONS .....	11
20	PROCESS SUMMARY .....	13

## 1 PURPOSE

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- 1.1** The Vocational Education and Training (VET) *Assessment Procedure* (**‘Procedure’**) outlines the process for planning, conducting and reviewing assessment practices and judgments to ensure that assessment, including Recognition of Prior Learning:
- 1.1.1 meets all requirements of the relevant Training Package or VET Accredited Course;
  - 1.1.2 is conducted by persons who have the vocational competencies, skills, and qualifications and industry skills required as set out in Clauses 1.13 to 1.15 of the *Standards for RTOs 2015*;
  - 1.1.3 is conducted in accordance with the Principles of Assessment and Rules of Evidence as set out in Clauses 1.8 to 1.12 of the *Standards for RTOs 2015*;
  - 1.1.4 judgements are consistently made on a sound basis, and validation and moderation of assessment judgments is undertaken; and
  - 1.1.5 complies with regulatory requirements, including the VET Quality Framework.

## 2 RELATED DOCUMENTS

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- 2.1** This Procedure should be read in conjunction with the following documents
- 2.1.1 Policy: *(VET) Assessment*
  - 2.1.2 Policy: *Academic Integrity (Students)*
  - 2.1.3 Procedure: *(VET) Student Appeals*
  - 2.1.4 Policy: *Students with a Disability*
  - 2.1.5 General Regulations
- 2.2** VET Quality Framework at: <https://www.asqa.gov.au/about/australias-vet-sector/vet-quality-framework>
- 2.3** *National Vocational Education and Training Regulator Act 2011*
- 2.4** *Standards for Registered Training Organisations 2015*
- 2.5** Australian Qualifications Framework and the AQF Qualifications Issuance Policy
- 2.6** Policy: *Application of the Australian Qualifications Framework Qualifications Issuance Policy within the VET Sector* (Endorsed by the former National Skills Standard Council (NSSC)).

## SECTION A: PRIOR TO ASSESSMENT - PLANNING ASSESSMENT APPROACHES

### 3 TRAINING AND ASSESSMENT STRATEGY

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- 3.1** Prior to delivery of qualifications to each cohort, the Trainers and Assessors will have developed a Training and Assessment Strategy (TAS) for each qualification using the approved TAS Template.
- 3.2** The TAS should clearly outline:
- 3.2.1 the training package or product that the TAS relates to, including the code and full title;
  - 3.2.2 mode of delivery;

- 3.2.3 duration and scheduling of training and assessment activities, including rationale for amount of training being provided;
  - 3.2.4 the resources, timing and methods of assessment for each unit of competency or cluster of competencies;
  - 3.2.5 pre-requisites and any co-requisites;
  - 3.2.6 the student support available to students;
  - 3.2.7 re-assessment protocols;
  - 3.2.8 the context of assessment; and
  - 3.2.9 the validation and moderation process to be used.
- 3.3** Each TAS should be consistent with the requirements of the current version of the relevant Training Package accessible from [www.training.gov.au](http://www.training.gov.au).
- 3.4** The TAS should be updated at least once per annum to ensure that it accurately reflects assessment methods in use and takes into account any changes in Training Package requirements.
- 3.5** Where the needs of different student cohorts require different approaches to assessment in a course, more than one TAS can be developed for the course.

## 4 INDUSTRY CONSULTATION AND VALIDATION

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- 4.1** Prior to delivery, the Assistant Dean, Nursing or relevant Program Coordinator (or equivalent) ensures that industry consultation occurs in relation to the TAS to ensure that assessment tools and delivery strategies are relevant and aligned to current industry needs.
- 4.2** Prior to delivery, all assessment tools should be validated, as required by the *Standards for RTOs 2015*.
- 4.3** Systematic validation of the University's assessment practices and judgments is undertaken by one or more persons who are not directly involved in the particular instance of delivery and assessment of the training product being validated, and who collectively have:
- 4.3.1 vocational competencies and current industry skills relevant to the assessment being validated;
  - 4.3.2 current knowledge and skills in vocational teaching and learning; and
  - 4.3.3 an appropriate training and assessment qualification or assessor skill set.
- 4.4** Validation outcomes inform the development of assessment tools when undertaken prior to delivery, and inform the review of assessment tools throughout delivery.
- 4.5** The Regulatory Assurance Officer is responsible for developing and monitoring the implementation of a Validation Schedule to ensure that all training products on the University's scope of delivery will be validated at least once every five years, with at least 50 per cent of qualifications validated within the first three years of each five year cycle. Higher risk qualifications may be validated more regularly.
- 4.6** The Schedule will list training products in the order of highest risk to lowest risk. Risks will be evaluated based on:
- 4.6.1 whether the qualification has licenced outcomes;
  - 4.6.2 whether the qualification is regulated by industry;
  - 4.6.3 delivery over multiple sites;
  - 4.6.4 enrolment numbers; and
  - 4.6.5 multiple modes of delivery.
- The Validation Schedule will be reviewed each year and updated as necessary to take account of outcomes of assessment validation and activities.

- 4.7** In consideration of the Validation Schedule at section 4.6, a detailed plan for ongoing, systematic validation of assessment practices and judgments will be developed for each training product on the University's scope of registration that sets out the following:
- 4.7.1 When assessment validation will occur.
  - 4.7.2 The unit/s of competency that is the focus of the validation.
  - 4.7.3 Who will lead and participate in validation activities. Participation should include industry representatives who are not employed or subcontracted by the University to provide training and/or assessment, and may also include:
    - (a) Teaching staff
    - (b) Students
    - (c) VET specialists
    - (d) Professional association representatives
    - (e) Other stakeholders.
  - 4.7.4 The valid sample size to be used, representative of the number of assessment tasks and number of students, using the tool provided at <http://www.raosoft.com/samplesize.html> with a confidence rate of 95% and an error rate of 5%.
  - 4.7.5 How the outcomes of these activities will be documented and acted upon, including changes to the Training and Assessment Strategy (TAS).
- 4.8** Records of the validation participants, their qualifications, process undertaken, outcomes, and resultant actions implemented are generated and maintained for all validation activities using the Validation Form and recorded in the Document Library and included in the Continuous Improvement Register where appropriate.

## **SECTION B: CONDUCTING ASSESSMENT**

### **5 TRAINER AND ASSESSOR CREDENTIALS**

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- 5.1** The Trainer and Assessor Matrix is used to record the qualifications, experience and industry currency of those persons undertaking training and assessment activities.
- 5.2** Trainers and Assessors must have:
- 5.2.1 vocational competencies at least to the level being delivered and assessed;
  - 5.2.2 current industry skills directly relevant to the training and assessment being provided;
  - 5.2.3 current knowledge and skills in vocational training and learning that informs their training and assessment; and
  - 5.2.4 required qualifications as prescribed in the *Standards for RTOs 2015*.
- 5.3** Trainers and Assessors should ensure that they are aware of their roles and responsibilities in assessment to ensure that the requirements of the *Standards for RTOs 2015* are met, and participate in professional development opportunities relating to these obligations.
- 5.4** The Assistant Dean, Nursing and Program Coordinator (or equivalent) oversees the recruitment process and recommendations for appointment of assessors to ensure that the candidate has the required vocational competencies and current industry skills in accordance with the Standards.

## 6 INFORMING STUDENTS OF ASSESSMENT REQUIREMENTS AND MAKING REASONABLE ADJUSTMENTS

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- 6.1** Prior to assessment and consistent with any learning support needs identified, the Trainer and Assessor has responsibility to:
  - 6.1.1 Confirm that each learner is prepared to undertake the assessment;
  - 6.1.2 Advise learners of the time, place, and requirements for the assessment;
  - 6.1.3 Ensure that each learner is fully aware of what they have to do; and
  - 6.1.4 Advise learners of the procedures for re-assessment and appeals.
- 6.2** Reasonable adjustments may be made to assessment methods to take account of individual learner's circumstances (such as language, literacy and numeracy skills, cultural background, disability or medical condition) in order to ensure that each learner's needs are met, while ensuring that evidence collected addresses all requirements of the Unit of Competency - including taking account of the Foundation Skills, performance criteria and job requirements.
- 6.3** Examples of reasonable adjustments include demonstrations rather than oral presentation, additional time to complete a task, providing a scribe, or providing specialist technology, equipment and/or aids.
- 6.4** Learners who are impacted by a disability or medical condition may need reasonable adjustments to be made to their assessments in accordance with relevant legislation and as described in the *Policy: Students with a Disability*. In such cases, the Access and Inclusion Advisor in the Notre Dame Study Centre can provide assistance in the development of a formal Learning Access Plan.
- 6.5** Special Consideration may be granted to students in accordance with the *Procedure: Special Consideration*.

## 7 ASSESSMENT TASKS AND METHODS

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- 7.1** Students must be assessed against all of the tasks identified in the Unit of Competency or module and demonstrate that they:
  - (a) are capable of performing these tasks to industry requirements;
  - (b) demonstrated and provided evidence of the required skills and knowledge as specified in the unit or module assessment requirements across five areas:
    - (i) Performance Criteria and Performance evidence,
    - (ii) Knowledge evidence,
    - (iii) Assessment conditions,
    - (iv) Foundation Skills
    - (v) Dimensions of Competency.
- 7.2** Assessment methods should be consistent with those identified in the TAS, and may include, but are not limited to:
  - 7.2.1 direct observation/practical demonstrations;
  - 7.2.2 structured activities such as simulations, roles, group work, case studies, assignments, projects, field work, practicum, electronic forums or presentations;
  - 7.2.3 questioning (verbal or written);
  - 7.2.4 portfolios, such as work samples, journals or log books;
  - 7.2.5 review of products, such as reports, performance or exhibitions.

- 7.3 The assessment criteria should be the same for all students, irrespective of the individual or group being assessed to ensure consistency of standards.
- 7.4 Assessments and assessment tools should contain all required components as detailed in the Training Package.
- 7.5 All assessments should have a separate marking or assessment guide that define the benchmarks for assessment.

## 8 WORKPLACE ASSESSMENTS

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- 8.1 Information about the skills that students have already attained, and the skills that the student is to acquire and practice in the work placement should be provided to the supervisor prior to placements.
- 8.2 Any workplace assessment tool must include the performance criteria and outline of tasks and observable behaviours should be developed for workplace supervisors to complete, depending on the qualification. This is then certified by a Trainer and Assessor.

## 9 RECOGNITION OF PRIOR LEARNING

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- 9.1 Recognition of Prior Learning is offered to all learners and should be completed prior to course commencement,
- 9.2 The Trainer and Assessor assesses student evidence against all requirements of the relevant Units of Competency, involving a student interview as well as review of documentary evidence.
- 9.3 The Trainer and Assessor makes a judgment on the student's competency.
- 9.4 If the student does not meet all requirements of the Unit of Competency or industry currency, gap training may be offered and assessment will be required.
- 9.5 All evidence and assessment records are maintained by the Administrative Officer.

## 10 PRINCIPLES OF ASSESSMENT AND RULES OF EVIDENCE

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Irrespective of assessment methods used, the Trainer and Assessor is responsible for ensuring that the Principles of Assessment and Rules of Evidence are upheld.

### Principles of Assessment

#### 10.1 Fairness

- 10.1.1 Individual learner's needs are considered in the assessment process.
- 10.1.2 Where appropriate, reasonable adjustments are applied to take into account the individual learner's needs. Reasonable adjustment may mean:
  - (a) making learning materials and methods accessible;
  - (b) adapting the physical environment and equipment;
  - (c) making adjustments to the procedures for conducting assessment;
  - (d) making adjustments to the evidence gathering techniques (for example providing an oral rather than written assessment);
  - (e) the learner is informed about the assessment process and provided with the opportunity to challenge the result of the assessment and be re-assessed if necessary.
- 10.1.3 Processes to support implementing fairness of assessment include:
  - (a) making RPL available to all students prior to commencement;

- (b) making required adjustments to training and assessment for each learner;
- (c) providing further training before re-assessment;
- (d) ensuring students are aware of the opportunity to appeal assessment decisions in accordance with the *Procedure: (VET) Student Appeals*. For example, appeals may be made when:
  - (i) the assessment tool was not explicit (for example, it did not detail how many assessment tasks were required to be undertaken, how students will be assessed or when they will be assessed);
  - (ii) the assessor did not fairly and appropriately apply the assessment criteria as specified in the assessment tool;
  - (iii) the assessor did not conduct the assessment tasks as described in the assessment tool.

## 10.2 Flexibility

10.2.1 Assessment is made flexible to the individual learner by:

- (a) reflecting the learner's needs;
- (b) assessing competencies held by the learner no matter how or where they have been acquired; and
- (c) 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.

10.2.2 Processes to support implementing flexibility in assessments include:

- (a) making RPL available to all students prior to commencement;
- (b) taking into account current skills and knowledge of students;
- (c) using a range of assessment methods that allow students to demonstrate competence in a variety of ways.

## 10.3 Validity

10.3.1 Any assessment decision is justified, based on the evidence of performance of the individual learner. This requires that:

- (a) 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;
- (b) assessment of knowledge and skills is integrated with their practical application;
- (c) assessment is based on evidence that demonstrates that a learner could demonstrate these skills and knowledge in other similar situations; and
- (d) judgment of competence is based on evidence of learner performance that is aligned to the unit/s of competency and associated assessment requirements.

10.3.2 Processes to support implementing Validity in assessment include:

- (a) assessing in a variety of contexts to demonstrate that a student can apply skills and knowledge in different situations;
- (b) ensuring that assessment tasks and methods match assessment requirements in the Training Package.

## 10.4 Reliability

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

10.4.2 Processes to support implementing reliability in assessment include:

- (a) developing criteria to judge the quality of performance to support consistent judgments about competence by all assessors in the same unit of competency/module. Criteria may include model answers and descriptions of observations needed to assess skills and application of knowledge in a practical activity.

## **Rules of Evidence**

### **10.5 Validity**

10.5.1 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.

10.5.2 Processes to support implementing validity in assessment include:

- (a) ensuring that evidence is directly related to the competency being assessed; and
- (b) ensuring that there is a direct relationship between the assessment tasks or activities undertaken by students, the evidence presented and the assessment requirements.

### **10.6 Sufficiency**

10.6.1 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.

10.6.2 Processes to support implementing sufficiency in assessment include:

- (a) gathering enough evidence to make a valid judgment of competence. The quantity of evidence may vary between students.

### **10.7 Authenticity**

10.7.1 The assessor is assured that the evidence presented for assessment is the learner's own work.

10.7.2 Processes to support implementing authenticity in assessment include:

- (a) verifying the student's identity
- (b) use of text-matching software
- (c) reference to the Policy: *Academic Integrity (Students)*.

### **10.8 Currency**

10.8.1 The assessor is assured that the assessment evidence demonstrates currency competency.

10.8.2 Processes to support implementing currency of assessment include ensuring that assessment evidence is from the present or very recent past.

## **11 ACADEMIC INTEGRITY**

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**11.1** Students and Staff are responsible for upholding academic integrity in accordance with the *Policy: Academic Integrity (Students)*.

**11.2** Strategies to assist student to develop the knowledge and academic skills needed to meet their responsibilities for upholding academic integrity include:

- 11.2.1 Incorporating mechanisms and assessment practices that deter students from deliberate plagiarism and other forms of academic integrity breaches;

- 11.2.2 Designing assessment in ways that maximise opportunities for students to produce work that does not breach academic integrity;
- 11.2.3 Providing assessment feedback to students that assist them to develop the knowledge and skills to demonstrate academic integrity in their work.

## SECTION C: FOLLOWING ASSESSMENT

### 12 ASSESSMENT FEEDBACK

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- 12.1 Assessment feedback to students should be constructive, timely and sufficient to inform the student of additional evidence/training they require to demonstrate competence. The length and type of feedback will vary depending on the nature and purpose of the assessment activity.
- 12.2 Documented feedback on a learner's performance should be provided within two weeks of submission of a written assessment.

### 13 ASSESSMENT OUTCOMES

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- 13.1 The Trainer and Assessor should consult marking guides and the Training Package to determine the assessment outcomes.
- 13.2 The following assessment decisions are used for recording outcomes of assessment:
  - 13.2.1 **Satisfactory (S)** for a student who has demonstrated that they are proficient to the industry standards against the components of a Unit of Competency.
  - 13.2.2 **Not Yet Satisfactory (NYS)** to a student who has not demonstrated that they have achieved the industry standard against the components of a Unit of Competency being assessed.
  - 13.2.3 **Competent (C)** is awarded to a student who has achieved all of the components specified for a Unit of Competency to industry standards.
  - 13.2.4 **Not Yet Competent (NYC)** is awarded to a student who has failed to achieve all of the components specified for that unit of competency to the industry standard.
- 13.3 Assessment decisions are recorded in the University's Learning Management System, Blackboard by Trainers and Assessors, and then are transferred to the Student Management System, Power Pro, when the student is deemed competent in the Unit.

### 14 ASSESSMENT RECORDS

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- 14.1 All assessment tools, including but limited to marking and/or assessment guides, are stored in the Document Library.
- 14.2 All completed assessment tools are saved in the Student Management System. These are held for two years.

## 15 MODERATION

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- 15.1 The Assistant Dean of Nursing, Program Coordinator (or equivalent) takes a sample of completed assessments from student records for moderation purposes to ensure that assessment judgments across different assessors are aligned - that is the same decisions are applied to all assessment results within the same Unit of Competency.
- 15.2 Moderation of a sample of completed assessments is undertaken for each student cohort.
- 15.3 If substantial anomalies are detected, student work should be reassessed before assessment outcomes are communicated to students.
- 15.4 Any identified areas for improvement will be recorded in the Continuous Improvement Register.
- 15.5 The Regulatory Assurance Officer will monitor that implementation of moderation processes has occurred in accordance with this Procedure.

## 16 APPEALS

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- 16.1 A student may appeal an assessment outcome in accordance with the *Procedure: (VET) Student Appeals*.

## 17 REVIEW OF ASSESSMENT TOOLS AND APPROACHES

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- 17.1 Continuous improvement of assessment is informed by outcomes of systematic validation, (refer section 4), staff and student feedback, reflective practice, industry engagement and moderation outcomes.
- 17.2 Revisions to Assessment Tools should be made to ensure validation recommendations have been adopted.
- 17.3 Revisions to assessments must be recorded using the Continuous Improvement form, and the revised assessment template stored in the Document Library.

## 18 RELATED FORMS AND TEMPLATES

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- 18.1 Training and Assessment Strategy (TAS) template
- 18.2 Validation Schedule
- 18.3 Validation Record
- 18.4 Assessment Matrix/Guide
- 18.5 Moderation Record

## 19 DEFINITIONS

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- 19.1 For the purpose of this Procedure, the definitions in the *Policy: (VET) Assessment* apply. In addition, the following definitions apply to this Procedure:

19.1.1 **Standards** means the Standards for Registered Training Organisations 2015.

Version	Date of approval	Approved by	Amendment
1	April 2014	CEO, VET	Guideline Created: <i>(VET) Validation and Moderation</i> .

2	27 April 2017	CEO, VET	Updated Guidelines into a Procedure to reflect Standards for RTOs 2015 and to support revised Policy: (VET) Assessment Endorsed by VETAS 26 April 2017.
3	12 December 2018	Vice Chancellor, following Academic Council endorsement, 5 November 2018 and VETAS endorsement 23 October 2018	Updated nomenclature and updated to reflect new Procedure format, Board of Assessor process removed, updated position titles, and inclusion of moderation processes. .

## 20 PROCESS SUMMARY

<i>Process Step</i>	<i>Responsibility</i>
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### PRIOR TO ASSESSMENT

<i>Plan and Manage Assessment</i>	
<ul style="list-style-type: none"> <li>Develop Training and Assessment Strategy (TAS)</li> </ul>	Trainers and Assessors
<ul style="list-style-type: none"> <li>Industry Consultation</li> </ul>	Assistant Dean of Nursing/ relevant Program Coordinator (or equivalent)
<ul style="list-style-type: none"> <li>Identify any learner who will be assessed by RPL, such that appropriate tool is used</li> </ul>	Trainers and Assessors



<i>Validation</i>	
<ul style="list-style-type: none"> <li>Develop Validation Schedule</li> </ul>	Regulatory Assurance Officer
<ul style="list-style-type: none"> <li>Validation of assessment tools prior to delivery according to Validation Schedule</li> </ul>	Assistant Dean of Nursing/ relevant Program Coordinator (or equivalent)
<ul style="list-style-type: none"> <li>Records of validation participants, qualifications, process, outcomes and actions arising kept</li> </ul>	Trainers and Assessors



<i>Inform Students of Assessment Requirements</i>	
<ul style="list-style-type: none"> <li>Confirm student is prepared for assessment</li> </ul>	Trainers and Assessors
<ul style="list-style-type: none"> <li>Ensure each learner is fully aware of requirements</li> </ul>	Trainers and Assessors



### CONDUCT ASSESSMENT

<ul style="list-style-type: none"> <li>Reasonably adjust assessment to meet individual needs, if required</li> </ul>	Trainers and Assessors
<ul style="list-style-type: none"> <li>Assessment methods to be consistent with those outlined in TAS</li> </ul>	Trainers and Assessors
<ul style="list-style-type: none"> <li>Assessment criteria expected for each student should be the same, irrespective of the individual or group being assessed to ensure consistency of standards</li> </ul>	Trainers and Assessors
<ul style="list-style-type: none"> <li>Ensure that Principles of Assessment and Rules of Evidence are upheld</li> </ul>	Trainers and Assessors



