

## Assessment Policy & Procedure

### Purpose

CEAV Institute is committed to designing and conducting inclusive, competency-based assessments that meet the requirements of the relevant Training Package, workplace, and where applicable, regulatory frameworks, and that will result in the valid, reliable, fair, and flexible assessment of all students.

CEAV Institute's assessment processes will be based on the Principles of Assessment and Rules of Evidence.

All CEAV Institute assessment procedures will recognize equity and cultural issues without compromising the integrity of the assessment.

All students of CEAV Institute's programs will be informed of the assessments to be conducted throughout the program through the provision of a detailed delivery schedule and verbally during their induction session.

All students of CEAV Institute's programs will be informed of the assessments to be conducted throughout the program.

All assessment results are treated as strictly confidential and CEAV Institute will provide written and verbal feedback to students about the outcomes of the assessment and provide guidance on future options. Refer to CEAV Institute's **Privacy and Confidentiality Policy and Procedure**.

All assessments are marked as either Satisfactory or Not Yet Satisfactory. In a situation of an assessment being marked as Not Satisfactory, students will be provided with two opportunities to resubmit/demonstrate the assessment.

### Scope

This Policy and Procedure describes the processes to be followed by CEAV Institute staff, workplace trainers/assessors and students when undertaking assessment tasks.

### Responsibility

The RTO Manager - Head of Teaching and Learning and Administration Executive are to ensure that the Trainers/Assessors and students at CEAV Institute are aware of its application and that Trainers/Assessors implement its requirements.

Students are provided with information about assessment requirements and processes:

- At a course induction session
- Through information provided in Student Handbook and promotional material

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### Definitions or Reference Documents

**Assessment** – the process whereby students’ learning outcomes are measured and developed, feedback is given to students on their progress and competencies are awarded.

**Assessment Tasks** – the single components of an assessment of a competency consisting of various assessment types to address students’ differing learning styles. An assessment task may for example consist of a single task (project) or a set of tasks (reports).

**Due Date** – The date by which an assessment task must be submitted.

**Extension** – Students who are having difficulty meeting the due date can negotiate an extension of time with their trainer/assessor in which to submit their assessment task/s.

**Satisfactory** – the result awarded to a student when they meet the requirements for an assessment task.

**Unsatisfactory** – the result awarded to a student when they do not meet the requirements for an assessment task.

**Resubmit** – if more information is required for a written assessment in order to meet competency requirements, the student is required to resubmit the written work that is required – the written work required is specified in written feedback provided to the student.

**Practical assessment** – Practical demonstration of the application of knowledge into work-based practices by the student – this is usually conducted in the student’s workplace or simulated environment (if there are no opportunities to demonstrate practical skills).

**Validation** – a process used by RTOs to review, compare, and evaluate assessment procedures, tools and evidence on a regular basis to achieve standardization so that the training outcomes are consistent, and that assessment is valid, reliable, fair and flexible.

**Competent** – when a student achieves a Satisfactory result for ALL assessment tasks for a unit of competency.

**Not competent** – when a student has not achieved a Satisfactory result for some assessment tasks for a unit of competency.

### Policy

CEAV Institute recognises a well-designed assessment process plays an integral role in helping students achieve successful outcomes. Assessment is a core activity and an essential component of the learning process. Assessment is the process whereby:

- Students’ learning outcomes are measured and developed.
- feedback is given to students on their progress, and
- competencies are awarded.

Assessments are conducted by appropriately qualified and skilled assessors who adopt a participatory approach to evidence gathering.

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The evidence gathered will be valid, sufficient, current, and authentic to allow the making of fair, impartial, and objective decisions as to the competence of students. The assessment process will be always transparent, characterised by open, clear, timely communication between the assessors and students.

CEAV Institute will ensure that all training and assessment strategies, tools, processes, evidence, and outcomes are subject to systemic validation and moderation for the purposes of both continuous improvement and comparability and consistency of standards within and across the organisation and with other organisations issuing the same VET Qualifications or VET Statements of Attainment as those on its scope of registration.

CEAV Institute's assessment policy draws on definitions and guidelines provided in national regulatory publications and acknowledge these sources. It is suggested these regulatory documents are read in conjunction with this policy.

- VET Quality Framework
- Standards for Registered Training Organisations (RTOS) 2015

### Procedure

CEAV Institute's assessment system is designed to ensure quality assessment outcomes are achieved through assessment processes and instruments based on the Principles of Assessment and Rules of Evidence.

While each of the principles is important, assessment activities should reflect all principles and not elevate the importance of one at the expense of others.

#### Principle of Assessment - Fairness.

- CEAV Institute ensures that students are fully informed about the assessment requirements by providing a comprehensive outline of assessment requirements at the induction conducted at the course commencing.
- Detailed instructions about assessment requirements are also provided to students through:
  - their Assessment Guide is provided at the commencement of training.
  - their Student Handbook.
- Assessment requirements and instructions are also provided during tutorial sessions.
- Students are encouraged to discuss with their trainer/assessor their performance in assessment tasks while the unit is being conducted.
- A student who is dissatisfied with an assessment outcome may address the matter in accordance with the Complaints and Appeals Policy and Procedure. Refer to CEAV Institute's ***Complaints and Appeals Policy and Procedure***.
- CEAV Institute accommodates individual student's needs and will apply reasonable adjustments.

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- Reasonable adjustments in an assessment may include but are not limited to:
  - Use of diagrams
  - Use of supporting documents
  - Make sure the font size is not too small.

### Extension

- To request an extension, students must discuss their requirements with their trainer/assessor and submit appropriate evidence of documentation. Grounds for an extension in the assessment include but are not limited to:
  - Medical condition/s
  - Personal reasons
  - A disability or long-term medical or mental health condition
  - Primary Carer responsibility for a family member with a disability or long-term medical or mental health condition
  - An unavoidable cultural or religious commitment that falls on the day of an assessment due date.
  - An illness or other unavoidable exceptional circumstance that affects your preparation for an assessment task.
- Students will be advised of the outcome of their request for an extension in writing.
- Trainers and assessors are required to complete, sign and date the Extension Form and place it in the student's files.
- Should a student appeal the decision, the RTO Manager - Head of Teaching and Learning – CEAV Institute will reassess the request for reasonable adjustment and extension and decide. If the student deems the outcome to be unfair, they can appeal to a relevant independent body such as ASQA. Refer to CEAV Institute's ***Complaints and Appeals Policy and Procedure***.

### Reasonable adjustment

- Students seeking a reasonable adjustment must discuss their requirements with their trainer during the pre-training review career conversation or the prior to the start of the delivery of the unit of competency or at the earliest possible time once the class has commenced. Students may be required to provide documentation to support their request for reasonable adjustment.
- Trainer/assessors are required to complete, sign and date the Reasonable Adjustment Strategies Matrix in the student's assessment booklet in the case of a student being granted Reasonable Adjustment
- If a student is refused reasonable adjustment in an assessment an appeal may be lodged – refer to CEAV Institute's ***Complaints and Appeals Policy and Procedure***.
- All information and supporting statements provided as part of an application for reasonable adjustment in assessment will remain confidential (in accordance with the Privacy Act 1988) and CEAV Institute's Privacy and Confidentiality policy and procedure.

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### Personal circumstances affecting assessment.

- **Permanent disability and/or long-term chronic illness.**

Students with a permanent disability, mental health condition and/or long-term medical condition should consult the RTO Manager - Head of Teaching and Learning – CEAV Institute that sets out any necessary adjustment. Such students can apply for reasonable adjustments over and above any adjustments that may already have been approved.

- **Extension of time for submission of an assessment task.**
- Students experiencing personal circumstances, have a mental health condition or temporary illness that significantly hamper(s) their participation or performance in an assessment task may apply to their Trainer/Assessor for an extension of time for submission of an assessment task in accordance with the Assessment Procedures.
- Students experiencing personal circumstances which significantly hamper their participation or performance in an assessment task may apply for reasonable adjustment (in accordance with the Assessment Procedures) where other processes are not applicable or are no longer possible because of the timing and/or severity of the circumstance(s) e.g., exceptional and unforeseen situation/s beyond the student's control or a temporary medical condition.

### Assessment Methodology

The assessment methodologies used for each course must reflect those used in the corresponding Training and Assessment Strategy.

CEAV Institute draws on a range of appropriate assessment methods to ensure sufficient and valid evidence is gathered to ensure that students can meet the requirements of the unit of competency as follows:

- **Knowledge Based Assessments**

Students are required to undertake a variety of knowledge-based assessment tasks for each unit of competency that they have enrolled in. Knowledge-based assessment methodologies used are:

- Answers to written questions
- Quizzes
- Multiple Choice Questions
- Reports
- Projects
- Research

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Students are provided with the following resources that contain assessment tasks that are required to be undertaken:

- An Assessment Booklet for each unit of competency they are enrolled in which contains all assessment tasks for each unit of competency. Students document their answers in the Student Assessment Booklet and submit them to their trainer/assessor via the LMS for assessment by the due date provided by the trainer/assessor and which is also documented on their course delivery schedule.

### Practical Assessments

- Students are required to undertake practical assessments during their course to assess the application of theoretical knowledge into work-based practices.
- Practical assessments are included in the Assessment Booklet for each unit of competency.
- Students are provided with a delivery schedule that specifies when practical assessments will take place and what competencies will be assessed.
- Students are also briefed by their trainer/assessor prior to the practical assessment taking place to ensure that they understand what is expected of them in terms of demonstrating practical competency.
- If a student does not demonstrate practical competency at the required level, they will be given further opportunities to be re-assessed.
- At their first feedback meeting, the trainer/assessor will discuss with the student what they need to do in the workplace to acquire the competency to demonstrate the required task(s). This will be documented on the Assessment Booklet.

- **Simulated Assessments**

Simulated Assessment tasks and instructions are included in each Student's Assessment Booklet.

Dates of when simulated assessments are to be undertaken and submitted are documented on the student's delivery schedule and trainers/assessors also provide dates for conducting simulated assessments during workshops and tutorial sessions.

Trainers/Assessors are provided with Assessor Guides for each unit of competency undertaken. These guides contain what students need to demonstrate when they are undertaking a simulated assessment and assessors are referred to Assessment Booklets to document observations.

Students must demonstrate the requirements documented in the Assessor Guides however if there are anomalies to a demonstration of competency in a simulated environment, this will be further investigated through the Validation process – refer to CEAV Institute's ***Validation of Assessment Policy and Procedure***

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### Principle of Assessment – Flexibility

CEAV Institute provides for the recognition of units of competency. Refer to CEAV Institute's ***Recognition of Prior Learning Policy and Procedure***

### Principle of Assessment – Reliability

CEAV Institute applies a consistent approach to marking by providing trainers/assessors with marking guides for each unit of competency that provide model/samples answers/ evidence required for:

- Written questions
- Case studies
- Roleplays
- Simulated assessments
- Practical assessments
- Student responses must model answers, evidence etc. provided in the marking guides
- Trainers and Assessors must use the marking guides to mark/observe students' assessments.
- Students must achieve a Satisfactory result for all assessment tasks before they are awarded competency for the unit they are enrolled in.

### Principle of Assessment – Validity

- CEAV Institute will map all assessment tools to units of competency to ensure that all requirements of the unit of competency have been met.
- Should it be identified that there are gaps i.e., the assessment tools do not address some of the requirements of the unit of competency, the RTO will develop and implement assessment tools to address the identified gaps.
- Validation of assessment tools is also undertaken to ensure the Principle of Assessment – Validity is met. Refer to CEAV Institute's assessment processes.

### Rules of Evidence

- **Rule of Evidence – Validity and Sufficiency**
- CEAV Institute ensures that valid evidence is required for an assessment directly related to the competency being assessed.
- CEAV Institute ensures that sufficient evidence is gathered to enable trainers/assessors to make informed, reliable and consistent assessment judgements of a student's competency regardless of the assessor conducting the assessment. This is undertaken by students undertaking several assessments which have used different assessment methodologies.

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- CEAV Institute will conduct regular external and internal validation meetings at least once a year to assess all its current assessment procedures, tools and strategies for each qualification on its scope of registration to ensure that all assessments meet the requirements of the units of competency and that sufficient evidence is gathered to enable an assessor to make an informed, reliable and valid assessment judgement.

Refer to CEAV Institute's ***Validation Policy and Procedure***

- **Rule of Evidence Authenticity**
- CEAV Institute values the authenticity of assessment evidence and enforces academic misconduct disincentives.
- Academic honesty is an essential foundation for student assessment. Students are required to sign a Student Declaration in each Assessment booklet which states that:
  - the evidence that they submit for assessment is their own and/or that they acknowledge the work of others appropriately.
  - they understand the consequences of falsifying documentation and plagiarism and accept that the work submitted is subject to verification to establish it as their own.
- CEAV Institute will not tolerate cheating (including plagiarism).
- All students are required to sign a Student Declaration that states that the work submitted is their own.

Refer to CEAV Institute's ***Plagiarism and Cheating Policy and Procedure***

### **Rule of Evidence Currency**

CEAV Institute makes provision for students to sign and date their assessments when they are ready to submit assessments for marking.

Students are required to sign the Assessment Booklet for each assessment task submitted for the unit of competency that they are enrolled in.

### **Contextualization or Customisation of assessments**

CEAV Institute contextualises units of competency and/or assessments to accommodate specific industry requirements by providing training and assessment that is specialized to the field of career development. It is essential when contextualising a unit that the whole evidence guide is covered.

Once the unit has been contextualised, CEAV Institute will ensure that the integrity of the Training Package is maintained and that the outcome of the standard remains unchanged. This means learning and assessment opportunities can be created that are more relevant to students by including language that students are familiar with, and the unit can be delivered and assessed in a variety of contexts.



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### Communicating assessment requirements and schedule to students

Assessment requirements are communicated to students through promotional material, the student's course handbook for the course that they have enrolled in, information sessions, at their course induction and during their course.

Students are provided with a detailed delivery schedule of their course which includes when assessment tasks will be administered, what assessment tasks are required to be undertaken and completed and in the case of written assessment – the due date of submission will be documented.

Assessment requirements (dates of submission, dates for simulated/practical assessments) are continually reinforced by the trainer/assessors responsible for delivering the course.

### Recording of assessment results

- Trainers/Assessors are required to record the results of each assessment task for each unit of competency on the Assessment Booklet for each unit of competency.
- Trainers/Assessors are required to record the Assessment outcome as either Satisfactory or Not Yet Satisfactory.
- Trainer/Assessors are required to record the unit outcome as either Competent or Not Yet Competent.
- Trainers/Assessors must complete the Trainer/Assessor Declaration.
- Trainers/Assessors must write their name, sign and date the declaration.
- Trainers/Assessors are required to record the results of each unit of competency in the LMS.

### Conducting assessment processes ethically

- CEAV Institute will ensure that there is no real or perceived conflict of interest in assessment processes. Examples include, but are not limited to the following circumstances:
  - Assessing a family member, a relative or close friend.
  - Assessing a colleague or business associate particularly if the outcome of the assessment can be used to gain employment, promotion, pay increases or other benefits.
  - Assessing another CEAV Institute staff member, particularly where a supervisor/subordinate relationship exists.
  - Assessing oneself.
- If a real or perceived conflict of interest is identified, it is the responsibility of the trainer/assessor to discuss the situation with the Manager - Head of Teaching and Learning – CEAV Institute as soon as it is possible.

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- The RTO Manager – Head of Teaching and Learning– CEAV Institute will decide whether the trainer/assessor should not assess in the specific case and/or in circumstances where the trainer/assessor has already conducted part or all of the assessment, whether the assessment should be confirmed by another trainer/assessor.
- Wherever possible, students with a mental health condition will be assessed by the same procedures that apply to all students. However, reasonable adjustment to the standard assessment methods may be provided.

### Specifying due dates and approving extensions

- Students will be informed of due dates for assessments:
  - By being provided with a delivery schedule which includes when assessments (written and practical) will take place. The delivery schedule will also include dates when written assessments are to be submitted.
  - At the beginning of each training session for a unit of competency
  - Prior to work placement (if required).
- Assessment due dates refers to the date for submission of any material (written questions, responses to case studies, projects) or attendance at a scheduled activity to satisfy assessment requirements.
- It is the student's responsibility to submit required material or attend and participate in scheduled assessments. If the student is unable to meet an assessment due date, the student can request an extension from their trainer/assessor.
- A request for an extension must be documented and received and granted by the trainer/assessor prior to the assessment due date. This is to be filed in the student's file. A response from the trainer to a student's request for an extension will be made in writing. This written advice will include a clear timeframe for the extension and the assessment activities that the extension relates to. A copy will be placed on the student's file.
- An extension of assessment activities may be granted where a due date disadvantages a student in a significant way. Such circumstances include compassionate grounds, sickness supported by a doctor's certificate, employment obligations supported by the employers or language, and literacy and numeracy requirements for the students. A trainer/assessor can request to see evidence of progress towards the assessment activity before granting an extension.

### Reassessment

CEAV Institute recognises situations when reassessment of the student may be required which include circumstances such as:

- When the student is unable to demonstrate competence at the time of assessment.
- When the student may have mental health issues which impact upon the student's ability to meet the inherent requirements of assessment which are ordinarily applied to applicants for that course or unit given reasonable adjustments wherever possible.

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- When the student may also have individual needs or extenuating circumstances that they believe were not duly considered during the assessment process; or
- When the workplace trainer/assessor and/or student decide that the skills and experience of a specialist assessor is required to collaboratively collect evidence and make a competency judgement.

CEAV Institute is therefore committed to ensuring that either a student or workplace trainer/assessor can initiate a reassessment opportunity and process as a means of minimizing the need for a formal appeal action and procedures.

This will be undertaken on a case-by-case basis depending upon the student's circumstances at the time of assessment.

### Resubmissions and deferred assessments

- Formal resubmission processes only apply to written assessments.
- Students have a right to two resubmissions per written assessment/practical assessment if the criterion for the assessment has not been met.
- The due date for re-submission and remarking will be declared by the trainer/assessor in negotiation with the student and will be based on reasonable time frames with due consideration for the workloads of all concerned.
- Dates and reasons for resubmission will be documented in the file notes in the student's file and entered into the student's record in VETtrak.

### Deferred assessment

- Deferred assessments may be granted where the student has otherwise met course requirements and is unexpectedly unable to participate in an assessment. This is usually due to special circumstances where a student can provide justification for their request. Such circumstances include, but are not limited to, compassionate grounds, sickness supported by a doctor's certificate, employment obligations supported by the employer.

### Penalties for not complying with the conditions of due dates, extensions resubmissions and deferred assessments:

### Feedback to Students

- Provision of written and verbal feedback to students on their performance in all assessment tasks is integral to the learning process and assessment tasks should be designed to facilitate the provision of feedback to allow them to monitor their progress and determine where improvements can be made to enhance their learning.

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- Timely feedback for written assessment is to be provided within six weeks of submission due date of written work. Students have access to their results and/or feedback and not to those of other students.
- Irrespective of the result Satisfactory (S) or Not Satisfactory (NS), trainers/assessors are required to provide documented and verbal feedback about the written work submitted. Each assessment task for units of competency requires written feedback.
- Trainers/Assessors are required to document feedback on the Assessment Booklet and the LMS.
- For the units of competency that students have enrolled in. They are also required to provide a result of each assessment task undertaken and completed.
- Students who are required to resubmit written work are provided with detailed information in writing of what further information they need to provide to meet the required standard of competency. The trainer/assessor must meet with the student to discuss the reasoning behind the outcome and give suggestions on what the student needs to do to overturn the result.
- The date for resubmission of written work is up to thirty days.
- Students will get two opportunities to resubmit written work for a unit of competency. If their written work still does not meet the required standard, they will be given a result Not Competent as well as detailed feedback as to why. If the student still wishes to submit written work for re-assessment, this will be negotiated with the RTO Manager - Head of Teaching and Learning.

### Appeals

Refer to CEAV Institute's ***Complaints and Appeals Policy and Procedure***

### Assessment Record Management

Refer to CEAV Institute's ***Records Management Policy and Procedure***.

### Quality Assurance

CEAV Institute is committed to establishing a quality assurance regime for the review of courses, units and assessments. This will include both internal and external validation.

Refer to CEAV Institute's ***Validation Policy and Procedure and Moderation Policy and Procedure***

## Meeting the requirements of the VET Quality Framework

- Standards for Registered Training Organisations:  
Standard 1 – Clause 1.4,1.5, 1.7,1.8,1.9,2.23,2.24,2.24,  
Standard 2

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Standard 5 – Clause 5.2,  
Standard 6.

- Skills First – Clause 6 Planning for Training and Assessment 6.1 - 6.4
- Skills First Quality Charter

### Related Documents

- Assessment Booklets for each unit of competency
- Validation Policy and Procedure
- Moderation Policy and Procedure
- Continuous Improvement Policy and Procedure
- Training and Assessment Strategies
- Training Delivery and Assessment Policy and Procedure
- Records Management Policy and Procedure
- Complaints and Appeals Policy and Procedure
- Privacy and Confidentiality Policy and Procedure

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Document Version Details	
Version Identifier:	V3
Date Amended:	3 <sup>rd</sup> July 2023
Approved By CEO, ACCE:	Penne Dawe 
Approved By RTO Manager, Head of Teaching & Learning	Dora Karas 
Review Date:	3 <sup>rd</sup> July 2024

Legislation	Relevant Websites
<b>Commonwealth</b>	
National Vocational Education and Training Regulator Act 2011, including the July 2020 amendments	<a href="https://www.legislation.gov.au/Details/C2020C00250">https://www.legislation.gov.au/Details/C2020C00250</a>
Australian Privacy Principles	<a href="https://www.oaic.gov.au/privacy/australian-privacy-principles">https://www.oaic.gov.au/privacy/australian-privacy-principles</a>
Commonwealth Privacy Act 1988 and Amendments	<a href="https://www.legislation.gov.au/Details/C2014C00076">https://www.legislation.gov.au/Details/C2014C00076</a>
Public Records	<a href="https://www.legislation.vic.gov.au/in-force/acts/public-records-act-1973/041">https://www.legislation.vic.gov.au/in-force/acts/public-records-act-1973/041</a>
<b>Victorian</b>	
Education and Training Reform Act 2006	<a href="https://www.legislation.vic.gov.au/in-force/acts/education-and-training-reform-act-2006/091">https://www.legislation.vic.gov.au/in-force/acts/education-and-training-reform-act-2006/091</a>
Victorian Privacy Act 2008	<a href="https://www.vic.gov.au/privacy-vicgovau">https://www.vic.gov.au/privacy-vicgovau</a>
Privacy and Data Protection Act 2014	<a href="https://www.legislation.vic.gov.au/in-force/acts/privacy-and-data-protection-act-2014/027">https://www.legislation.vic.gov.au/in-force/acts/privacy-and-data-protection-act-2014/027</a>