

Assessment Policy



Assessment Services

Safeguard Training & Services has implemented 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.

Assessment means the process of collecting evidence and making judgements on whether competency has been achieved, to confirm that an individual can perform to the standard required in the workplace, as specified in a training package or VET accredited course.

Assessment system is a coordinated set of documented policies and procedures (including assessment materials and tools) that ensure assessments are consistent and are based on the Principles of Assessment and the Rules of Evidence.

Assessors are persons who assess a student's competence.

Safeguard Training & Services has developed and implemented a rigorous assessment system to ensure:

- Assessment judgements are consistently made on a sound basis; and
- Validation of assessment judgements is carried out.

The assessment system includes not only the actual materials used directly in conducting assessment, but also policies, procedures and other supporting documents that inform the way assessment is conducted within Safeguard Training & Services

For a student to be assessed as competent, Safeguard Training & Services ensures the student demonstrates their:

- Ability to perform relevant tasks in a variety of workplace situations, or accurately simulated workplace situations;
- Understanding of what they are doing, and why, when performing tasks; and
- Ability to integrate performance with understanding, to show they are able to adapt to different contexts and environments.

All students:

- Are assessed against all of the tasks identified in the elements of the unit or module;
- Demonstrate they are capable of performing these tasks to an acceptable level;
- Must demonstrate they hold all of the required skills and knowledge, as specified in the unit or module assessment requirements.

General Assessment Requirements

Safeguard Training & Services assessment approaches are always based on the performance of the individual student. If assessment tasks are undertaken as a group, each student is still assessed on each component of the assessment task.

Recognition of prior learning is simply a form of assessment of a student's competence. As such, recognition of prior learning must be conducted with the same rigour as any other form of assessment. Where assessment is completed via recognition of prior learning, the requirements do not change, although the variety of evidence gathered

and considered in making an assessment decision may be greater than through ‘traditional’ assessment activities.

Similarly, distance and online delivery methods may change the type of evidence considered, although the same requirements apply. Regardless of the mode of delivery or engagement, all assessment meets the same requirements.

Assessment Requirements

Each Unit of Competency contains assessment requirements grouped into three areas:

- Performance evidence;
- Knowledge evidence; and
- Assessment conditions.

Performance and knowledge evidence describe what a student must demonstrate in order to be considered competent. Assessment conditions describe the conditions under which a student must demonstrate this, including any specific requirements for resources, trainers and assessors and the context for assessment.

Note that some training packages and courses may not have been updated to this format. In these cases, ‘required skills and knowledge’ and ‘evidence guide’ or similar terms are used.

Assessment Planning

When planning assessment, Safeguard Training & Services addresses all of the requirements of the unit or module. This does not mean separate assessment activities for each item, but that, as a whole, Safeguard Training & Services assessment activities cover every area required. To achieve a ‘competent’ result, students must meet all the requirements of the unit.

As similar requirements are often expressed in multiple units of competency, Safeguard Training & Services often ‘clusters’ a number of units together for assessment to avoid repeating assessment of the same tasks.

Simulated Work Environments

When conducting training and assessment in a simulated workplace environment, ABS RTO ensures that the simulated environment gives students the opportunity to meet the following critical criteria:

- **Quality** The work is of the standard required for entry into the industry.
- **Productivity** The work is performed within a timeframe appropriate for entry to the industry.
- **Safety** The work is performed in a manner that meets industry safety standards.

This approach ensures that student are ‘work ready’ on successful completion of units of competency.

All simulations used provide opportunities for integrated assessment of competence that include coverage of the Dimensions of Competency:

- Performing the task (task skills);
- Managing a number of tasks (task management skills);
- Dealing with workplace irregularities such as unexpected problems, breakdowns and changes in routine (contingency management skills);
- Fulfilling the responsibilities and expectations of the job and workplace, including working with others (job/role environment skills); and

- Transferring competencies to new contexts.

Assessment activities are designed to be realistic and reasonable in terms of scale. Assessment conducted under simulated conditions therefore reflects those typically found in the workplace.

Principles of Assessment

Safeguard Training & Services ensures the principles of fairness, flexibility, validity and reliability are met in all assessment approaches.

Fairness

- The individual student's needs are considered in the assessment process.
- Where appropriate, reasonable adjustments are applied by Safeguard Training & Services to take into account the individual student's needs.
- Safeguard Training & Services 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.

Flexibility

Assessment is flexible to the individual student by:

- Reflecting the student's needs;
- Assessing 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.

Validity

Any assessment decision of Safeguard Training & Services 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; and
- Judgement of competence is based on evidence of student performance that is aligned to the unit/s of competency and associated assessment requirements.

Reliability

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

Rules of Evidence

Safeguard Training & Services ensures the rules of validity, sufficiency, authenticity and currency are met in evidence collection approaches.

Validity

The assessor is assured that the student has the skills, knowledge and attributes as described in the module or Unit of Competency and associated assessment requirements.

Sufficiency

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

Authenticity

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

Currency

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

Assessment Methods

Assessment methods are the particular technique/s used to gather different types of evidence. There are three main assessment methods or techniques used by Safeguard Training & Services:

- Observation (sometimes referred to as demonstration, simulation, role play, scenario, etc) where the student is observed performing their skills and knowledge.
- Interview (sometimes referred to as questioning, verbal quiz, test, explanation, competency conversation, role play, scenario, case study, etc) where the student describes or answers questions to confirm their skills and knowledge; and
- Product (sometimes referred to as project, case study, scenario, creation, work product, etc) where the student provides a product, they have created to confirm their skills and knowledge.

Recognition of Prior Learning Assessments

Recognition of prior learning (RPL) is simply a form of assessment of a student's competence. As such, recognition of prior learning must be conducted with the same rigour as any other form of assessment.

Recognition of prior learning uses evidence from formal, non-formal and informal learning. This evidence is often combined with assessment activities sometimes known as 'challenge testing'.

Task Based RPL Model

Safeguard Training & Services has implemented a task-based model for RPL as a streamlined approach.

Streamlined approaches to RPL encourage assessment methods that reduce the reliance on paper-based evidence and give learners the opportunity to gather evidence of their competence in a range of ways that better match the requirements of the unit(s). Increasingly, methods being used to gather evidence for RPL mirror assessment methods that are used in a training program. These include self-evaluation, interview

processes and/or direct observation either on the job in the workplace or in a simulated environment.

The task-based requirements for RPL are just as rigorous as the requirements for regular assessment. It is therefore essential that the methods and tools developed for implementing assessment meet the requirements of the training package, the principles of assessment, the rules of evidence and any industry-specific workplace requirements.

RPL assessments typically include:

- A documented "Competency Conversation" with at least one recent employer validating the student has demonstrated workplace performance against unit requirements, which is further verified by signatures from the employer and the RTO assessor. Actual questions and responses are documented and retained.
- A documented self-appraisal (signed by the student) of formal and informal knowledge and skills against tasks relevant to the units making up the qualification
- A record of experience relevant to the intended qualification. Evidence will include, but is not limited to, a resume or consecutive list of recent employment, which includes dates during which employment occurred, a short description of work undertaken and contact details of employer or supervisor
- Where applicable and in accordance with the unit of competency requirements, challenge tests (including practical observation and/or knowledge tests) addressing the elements and performance criteria of the unit, and the skills required.

Developing Assessment Tools

Specific Unit of Competency assessment documentation is prepared and used for all Safeguard Training & Services operations to ensure all training package and assessment requirements are met. Safeguard Training & Services always maintains resources available for delivery of every training product on its scope of registration—whether the training product is currently being delivered or not. All resources comply with specific requirements in the relevant training package or accredited course.

An *assessment tool* includes the following components: the context and conditions for the assessment, the tasks to be administered to the candidate, an outline of the evidence to be gathered from the candidate and the evidence criteria used to judge the quality of performance (i.e. the assessment decision making rules). It also includes the administration, recording and reporting requirements.

Assessment Tools are, where possible, developed by Safeguard Training & Services personnel and tailored to the needs of each individual student and group. When developing Assessment Tools, Safeguard Training & Services uses the information from the unit or module elements, performance criteria and assessment requirements to determine what competence *looks like*.

Safeguard Training & Services uses this information to set benchmarks for measuring the student's performance using 'observable behaviours'. This approach ensures that, once a student has completed the assessment tasks, the student has:

- Actually undertaken all the required tasks; and
- Demonstrated their ability to do so in different contexts and environments.

Using *Competency Mapping* validations, Safeguard Training & Services has confirmed that at all times these resources are aligned to, and meet requirements of, national competency standards.

Commercially Produced Resources

Where Safeguard Training & Services uses nationally produced (or commercially purchased) support materials, it ensures that these resources have been thoroughly vetted for use with the student target group and have been *competency mapped* in order to ensure that the resources meet all competency requirements.

Individual Personnel Resources

Individual personnel resources do not form part of the formal training and Assessment Tools provided by XYZ RTO.

Using Other Parties to Collect Evidence

Involving another party in the collection of evidence allows Assessors to gather authentic and valid evidence in difficult circumstances in a cost-effective way. It is common to use another party for evidence-gathering in cases where workplace evidence is required, but where it is not possible for the assessor to directly observe the student at work. For example, in cases where:

- The presence of an observer may compromise workplace safety; or
- Where work activities involve issues of patient confidentiality and privacy.

The use of other people in collecting evidence is also a valuable strategy for collecting evidence of 'everyday performance' rather than performance carried out as part of the formal assessment process.

When using other parties to collect evidence, Safeguard Training & Services ensures:

- That it is appropriate to involve another party in the collection of evidence; and
- The assessment processes lead to the collection of quality evidence.

Arrangements for using other parties to collect evidence

Safeguard Training & Services ensures sufficient guidance to both Assessors and the other party by:

- Providing assessors with comprehensive guidance about selecting the best person/s to collect evidence;
- Providing quality materials for collecting evidence;
- Providing the other party with comprehensive information about their role in the evidence-gathering process;
- Obtaining confirmation that the other party understands their role in the process;
- 'Interpreting' training package and accredited course information to be relevant to the other party;
- and
- Setting requirements for assessors in confirming the authenticity of evidence provided by a candidate.

Verification of Appropriateness of Other Party

Where Safeguard Training & Services is confirming the appropriateness of an individual in supporting the evidence collection process, the following items are considered and confirmed:

- The individual is not a relative or partner of the student, nor have any other relationship with the participant that may present a conflict of interest.

- The individual is a direct line supervisor or other valid role involving the student who is an appropriate person to observe or report on the student’s performance.
- Where prior credentials held by the individual are used as the basis for supporting appropriateness, these credentials are verified using the *Document Verification Procedure* outlined in Section 25 above.
- Where the employment history of the individual is used as the basis for supporting appropriateness, this history is verified using the *Verification of Employment History* procedure outlined in Section 18 above.

Assessment Procedure

Safeguard Training & Services is committed to quality student centred course services provision that meets each individual student’s needs. Safeguard Training & Services personnel strive to ensure that assessments conducted meet this commitment with a *range of assessment options provided that meet assessment requirements*.

Assessor Responsibilities

Each Safeguard Training & Services assessor is responsible for the preparation, delivery and finalisation of their assessment activities. The following procedures apply to all training and assessment, assessment only and recognition (RPL) processes.

Assessment Context	Documentation
<p>Assessment Tools provided to students can be contextualised to include such requirements as organisational policies and procedures, organisational safety management strategies, state and territory regulatory requirements, organisational resources or equipment. If contextualising any resources, assessors must:</p> <ul style="list-style-type: none"> • Meet with key personnel within the organisation such as supervisors, human resources personnel and team leaders to identify sources of information and establish how performance and knowledge are demonstrated within the workplace; • Re-map the resources in the relevant <i>Competency Mapping</i> to ensure the integrity of the assessment tool is unaffected; and • Forward contextualised resources to the Safeguard Training & Services <i>Chief Executive Officer</i> for approval. <p>Any changes on approval of contextualised resources are recorded within the <i>Assessor Guide</i> for the contextualised <i>Assessment Tool</i> as an additional <i>Competency Mapping</i>.</p>	<ul style="list-style-type: none"> • Assessment / Recognition Tool • Assessor Guide

Student Needs	Documentation
<p>When planning and confirming the assessment approach, it is important to consider your students' and the variety of differences that they will bring to the assessment. For example, students might:</p> <ul style="list-style-type: none"> • Come from different organisations; • Come from a range of educational backgrounds; • Be an Aboriginal or Torres Strait Islander; • Be a person who does not speak English as their first language; • Have disabilities; • Have limited literacy and numeracy capabilities; and • Not have undertaken assessment for a long time. <p>Safeguard Training & Services <i>Assessment Tools</i> are designed to provide multiple assessment options for students, whilst maintaining robust integrity of the assessment process and unit requirements.</p>	<ul style="list-style-type: none"> • Assessment / Recognition Tool • Assessor Guide
Reasonable Adjustment	Documentation
<p>It is important that assessors take meaningful, transparent and reasonable steps to consult, consider and implement reasonable adjustments for students with disability. Where students have disabilities, assessors should spend time with them learning about what modifications might need to be made to the Assessment Tools or approach to make them more accessible for the individual needs of each student.</p> <p>Reasonable adjustments can be made to the way in which evidence of candidate performance can be collected. Whilst reasonable adjustments can be made in terms of the way in which <i>evidence of performance is gathered</i>, the evidence criteria for making competent/not competent decisions should not be altered in any way.</p> <p>That is, the standards expected should be the same irrespective of the group and/or individual being assessed; otherwise comparability of standards will be compromised.</p> <p>All Safeguard Training & Services personnel must be familiar with, understand and maintain adherence to these assessment concepts and requirements outlined above as the following assessment procedure is implemented.</p>	<ul style="list-style-type: none"> • Assessment / Recognition Tool • Assessor Guide

Assessment Plan	Documentation
<p>Assessment arrangements are planned as a part of each Unit of Competency assessment process.</p> <p>For on-the-job assessment observations, the assessor will organise to visit the student on-site at a mutually convenient time.</p> <p>Recognition of prior learning documentation and applications are available for all units of competency for those students who have extensive experience in the unit areas.</p> <p>The assessor meets with the student to:</p> <ul style="list-style-type: none"> • Explain the context and purpose of the assessment and the assessment process; • Explain the competency standards to be assessed and the evidence to be collected; • Outline the assessment procedure, the preparation which the student should undertake, and answer any questions; • Assess the needs of the student and, where applicable, negotiate reasonable adjustment for assessing Individuals with disabilities without compromising the integrity of the competencies; • Seek feedback regarding the student’s understanding of the competency standards, evidence requirements and assessment process; and • Determine if the student is ready for assessment and, in consultation with the student decide on the time and place of the assessment. <p>The assessor must:</p> <ul style="list-style-type: none"> • Organise equipment or resources required to support the evidence gathering process; • Coordinate and brief other personnel involved in the evidence gathering process (if required); and • Organise the correct assessment tools to gather sufficient and quality evidence about the student's performance in order to make the assessment decision. 	<ul style="list-style-type: none"> • Assessment / Recognition Tool • Assessor Guide
Workplace Supervisors	Documentation
<p>For workplace-based students, a self-assessment and workplace supervisor <i>Third Party Report</i> should be completed and provided to demonstrate that:</p> <ul style="list-style-type: none"> • The student is ready for assessment; • The student confirms that all competency requirements have been covered; • The workplace supervisor confirms that workplace assessment has been completed and workplace performance is competent; and • The student confirms evidence requirements and prepares evidence gathering for assessment. 	<ul style="list-style-type: none"> • Assessment / Recognition Tool • Assessor Guide

<p>Evidence Collection</p> <p>For each Unit of Competency (and each element within the unit), it is a requirement that all assessments maintain at a minimum, multiple types of appropriate evidence to verify the candidate's competence, which address the assessment requirements.</p> <p>At least one of these evidence pieces should be a form of direct evidence (it should be noted that evidence pieces may overlap elements and units within the qualification).</p> <p>Assessors, when deeming a candidate competent, must have judged evidence collected to also have met the requirement of the dimensions of competency and be certain that the candidate can transfer the skills and knowledge covered into new work situations.</p>	<p>Documentation</p> <ul style="list-style-type: none"> • Assessment / Recognition Tool • Assessor Guide
<p>Assessment Decision</p> <p>The assessor must:</p> <ul style="list-style-type: none"> • Oversee the evidence gathering process to ensure its validity, reliability, fairness and flexibility; • Collect appropriate evidence and assess this against assessment requirements; • Incorporate allowable adjustments to the assessment procedure without compromising the integrity of the competencies (if required); • Evaluate the evidence in terms of validity, consistency, currency, authenticity and sufficiency; • Record details of evidence collected and of outcome of each assessment task (Satisfactory or Not Satisfactory); • On the conclusion of the evidence collection process for the Unit of Competency, make a judgement about competency based on the evidence and record the unit outcome. 	<p>Documentation</p> <ul style="list-style-type: none"> • Assessment / Recognition Tool • Assessor Guide
<p>Student Feedback</p> <p>The assessor must provide advice to the student about the outcomes of the assessment process. This includes providing the candidate with:</p> <ul style="list-style-type: none"> • Clear and constructive feedback on the assessment decision; • Information on ways of overcoming any identified gaps in competency revealed by the assessment the opportunity to discuss the assessment process and outcome information on reassessment and the appeals processes; and • An opportunity for reassessment if appropriate or requested by the student 	<p>Documentation</p> <ul style="list-style-type: none"> • Assessment / Recognition Tool • Assessor Guide

Completing Assessment Records	Documentation
<p>As assessment evidence is collected and reviewed, the assessment process is documented on an <i>Assessment Tool</i>. Each Assessment Tool is designed for a specific target group and assessment conditions & context. The resource highlights assessment activities, resources required, any pre or co-requisites and evidence requirements including decision making rules for the assessment.</p> <p>All parties to the assessment must complete the assessment declaration and signature. The assessor must:</p> <ul style="list-style-type: none"> Record the assessment outcome on the required Safeguard Training & Services assessment documents; Provide signed and dated assessment outcomes, and the original assessment to records for processing; and Maintain the confidentiality of the assessment outcome. <p>All nationally recognised course programs require assessment evidence to be retained on the student's file for each Unit of Competency.</p>	<ul style="list-style-type: none"> Assessment / Recognition Tool Assessor Guide
Credit Transfer Results	Documentation
<p>Assessors, when processing <i>Credit Transfer</i> results, are required to:</p> <ul style="list-style-type: none"> Sight the ORIGINAL certificate/statement of attainment from which credit transfer is being sought; Ensure the unit codes on the previous certificate/statement of attainment are highlighted as the unit codes being sought for credit transfer; Take a copy of the certificate/statement of attainment and certify this document by signing and dating that the certificate/statement of attainment has been verified; Where units are deemed and equivalent, include the relevant mapping page from the official training package curriculum list where equivalency has been noted; and Where there is doubt over the authenticity of the certificate/statement of attainment, the document must be confirmed with the relevant issuing registered training organisation. 	<ul style="list-style-type: none"> Verified student Transcript Training Package Mapping Documentation
Recognition of Prior Learning Results	Documentation
<p>Assessors, when processing <i>RPL-Granted</i> results, are required to:</p> <ul style="list-style-type: none"> Complete the same assessment process and records as required above RPL assessments have the same evidence or recording obligations; Note the result as '<i>RPL-Granted</i>' on the assessment record; Where a student's previous certificate is being used as a major form of RPL evidence, Safeguard Training & Services Personnel must: <ul style="list-style-type: none"> Sight the original certificate; Take a copy of the certificate/statement of attainment and certify this document by signing and dating that the certificate/statement of attainment has been verified; and Provide a separate mapping document how the previous certificate relates to the current unit requirements being assessed. 	<ul style="list-style-type: none"> Assessment / Recognition Tool Verified Student Transcript

Result Codes

The following Unit of Competency result codes and definitions are the common codes used by Safeguard Training & Services personnel as relevant to record results in documentation for data entry into RTO Manager.

Code	Description
C = Competency achieved / pass	The student has been assessed and satisfies all the requirements for the unit of competency or module.
RPL-G = Recognition of Prior Learning Granted	The student has been assessed and recognition of prior learning has been granted.
CT = Credit Transfer	Credit transfer is training credit for a unit of competency or module previously completed by a student. Credit transfer is essentially an administrative process. The student has been given credit for the unit as the student has completed the exact same unit code previously and presented a certified testamur for credit, or the unit has been deemed 'equivalent' in a training package mapping advisory document.
RPL-NG = Recognition of Prior Learning Not Granted	The student has been assessed and recognition of prior learning has not been granted.
WD = Withdrawn / discontinued	Withdrawn is reported for clients under two possible scenarios. The first scenario is that the student has engaged in some learning activity and has then notified of their withdrawal before completing all of the assessment criteria. The second situation is where the student has engaged in some learning activity and then stopped attending or submitting assessments (i.e. discontinues) without notifying Safeguard Training & Services. In this situation, a student does not attend the final assessment and has not made contact with Safeguard Training & Services to formally withdraw or arrange a continuing status. The withdrawn code applies in this situation, even if the student has completed some assessments and been assessed as not competent for one or more assessments.
NC = Competency not achieved / fail	The student has attempted all of the requirements for the assessment and has been assessed as not satisfactory, or as not satisfying one or more of the requirements for the unit of competency or module. For example, this code would apply if a student attempted ten of ten required assessments and was assessed as not satisfactory in one or more of the assessments. However, if a student had only attempted nine of the ten assessments, this code would not be used as the student must attempt all of the assessments in order to receive a 'Competency not achieved/fail' code.
Continuing	This code is used when the student has engaged in learning activity but has not completed all the training and assessment criteria.
Not Yet Started	This is a preliminary code that is used when the student has enrolled in a unit or module but has not yet commenced activity.

Retention of student evidence on file through delivery services is a key requirement of Safeguard Training & Services operations. All personnel must keep evidence on file for various purposes throughout the course program, and on completion and archiving of the student file.

Evidence

Evidence of Participation

All Safeguard Training & Services nationally recognised course services require participation evidence to be retained on file for each Unit of Competency. This evidence is used for confirmation of enrolment, confirmation of participation and financial billing requirements across a wide range of student contracts in all jurisdictions.

There is a variety of evidence types that satisfy participation at the unit of competency level.

To be valid, the evidence provided must contain the client's name or identification number, a unit identifier and a date.

Evidence can fall into any one of the following categories (as noted by NCVET Evidence of Participation Guidelines):

1. Evidence of work submitted relating to engagement by the client in the unit.

In cases where this information cannot be recorded on the work itself, separate evidence must accompany the work to allow it to be linked to the client, unit of competency and date completed, for example identification of a client by ID and a delivery schedule or equivalent detailing how the piece of work covers the subject in question, including due dates and milestones

2. Instructor notes based on communication between the instructor and the client establishing the client's involvement in the subject learning activity.

This includes personal interviews, telephone, e-mail or other communication modes, evidencing the engagement of a client in learning activity of the unit.

3. A provider endorsed attendance roll.

The roll must:

- Be recognised by Safeguard Training & Services as a tool to record attendance as a part of their normal processes;
- Contain the trainer's signature, printed name and date; and
- Show the actual unit was delivered at the point at which the student is marked on the roll.