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RTO REGISTRATION NO. 0182



ASSESSMENT APPEAL POLICY

3CM Policy & Procedure Vocational Education and Training (VET)

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Version	9
Status	Revised May 2019 to reflect national standards currently in operation. The implementation of this policy supersedes all previous versions of this policy.
Approval Body	Board of Management (on recommendation of SRTO2015)
Effective Date	5 June 2019
Next Review Date	May 2020
Owner	Managing Director

PURPOSE

3CM School of Management (3CM) is committed to providing quality assessment to clients (students) enrolled in its VET education courses.

This policy ensures:

- fair, valid and reliable evaluation of student performance for reporting on final competency outcomes;
- the provision of regular and constructive feedback on student progress to both the client and trainer;
- that where required, diagnosis of student learning and assessment difficulties is undertaken;
- a student's ability to challenge the results of assessments where appropriate; and,
- a framework for ensuring that the competency awarded to students accurately describe their achievement and that those competency outcomes are used consistently across 3CM.

POLICY OBJECTIVES

This policy ensures clients' progress and achievement against defined outcomes are assessed by trainers who collect, judge and record evidence of such progress and achievement. An assessment may be formative (undertaken to provide feedback to the client and information to the teacher to adjust teaching and learning while they are still happening), or summative (undertaken to provide information regarding level of achievement via grading/marking, or for other assessment decision purposes). Assessments may also be diagnostic and identify any learning and assessment difficulties the client may have.

SCOPE

This policy applies to:

- all assessment of VET education coursework offered at 3CM, and,
- trainers and professional staff (including contracted staff) with the responsibility of designing, administering and making decisions and reporting relating to assessment of VET education courses within 3CM.

PRINCIPLES

Assessment

Assessment will be:

- Standards or outcomes based. Norm-referenced assessment will not be used unless approved in the VET education course regulations or specified by an external organisation; and,
- Compliant with the accredited course documentation, which must ensure that assessment methods are valid, fair and reliable;
- designed to measure a client's achievements against explicit learning objectives;
- consistent and reflective of the level of the unit/course;
- appropriately mapped based upon the learning outcome of the unit;
- inclusive of embedded VET and SRTO 2015 attributes.

Assessment Process

The assessment process will:

- include formative and summative assessment;
- ensure scheduling of assessments and the amount of assessed work provides a reliable and valid measure of client achievement without overloading clients and staff;
- allow sufficient time for the completion of assessment tasks;
- provide appropriate number of formative and summative assessments, in various formats, aligned within an appropriate development of learning experiences to promote learning and to determine client performance;
- ensure all assessment tasks are validated prior to the use and results are moderated following each time the assessment task is used. Peer validation and moderation must occur at least once every three months;
- require all assessment tasks to be accompanied to a clear allocation of assessment decision for clients and an assessment guide for the award of those decisions;
- validation by an appropriately qualified external source must occur at least once a year
- ensure assessment tasks and records are produced, delivered and maintained via secure means where appropriate.

Validation and Moderation

Validation and moderation will:

- be used to ensure assessments that are valid (that is, they assess what they are intended to assess), conducted in a fair and consistent manner and meet the institute's responsibilities under accreditation as a higher education provider;
- ensure consistency of assessment decisions made by assessors;
- provide a continuous improvement mechanism tool.

Information for clients (students)

Information to clients shall ensure they:

- are advised of the assessment process, the criteria to be applied, the methods to be used and the timing of summative assessments;
- are advised in writing of details of the summative assessment requirements including structure, methods, number of tasks, work-based projects, criteria, and timelines at the commencement of their course. These details must not be changed unless there are exceptional and unforeseen circumstances, in which case the clients will be consulted, care taken to ensure that no client is disadvantaged, and all advised in writing;
- are advised that the work being assessed must be the sole work or the person or persons being assessed

Client (Student) Feedback

Feedback to clients (students) will:

- be appropriate and timely;
- allow for future development of clients and/or staff;
- enable trainer/client discussion and/or client self-reflection towards judgement or improvement;
- report against achievement.

Reassessment

Reassessment or alternative assessment opportunities may be provided to clients providing:

- reassessments are allowed under the course regulations;
- a deferred assessment is approved;
- the student is not subject to disciplinary matters due to assessment misconduct.
- Normally only one reassessment opportunity will be allowed.

Clients approved for deferred assessment must sit the deferred assessment on the approved date. No further extension or deferral may be granted.

Under Special Circumstances and on approval from the Learning & Development Specialist, a client may be permitted to attempt an assessment at a mutually convenient time and venue. After this, no further opportunities will be granted to defer or extend the timeframes of an assessment.

Client (Student) Appeals

Clients have the right to challenge a result if they have reason to believe that an assessment result is incorrect. They have the right to seek guidance, advice and support from any appropriate source, and have the right to be represented, present their case and bring evidence when challenging an assessment result. No client will experience discrimination within 3CM because of challenging an assessment result.

The Appeals process will:

- allow for an informal and formal process;
- ensure appropriate levels of authority are delegated in the decision-making process;
- allow for the timely resolution of appeals;
- provide an effective mechanism for communication; and,
- provide opportunity for external review.

The assessment appeals process is outlined in Schedule 1: Assessment appeals process.

Where a formal appeal is submitted the:

The Learning & Development Specialist (LDS) will notify the client of receipt of their appeal within 5 working days and:

- state the time, date and location of the Assessment Appeals with Managing Director;
- request the client to present further evidence to support their appeal and notify the client that they may have an advocate; and,

The LDS will request a meeting and/or report from the course coordinator regarding the matter. The LDS will convene with the Managing Director (MD) within 15 days of receipt of written appeal.

- the MD will forward a report and summarise the outcome and decision of the hearing.

Information for Staff

The “Client Handbook” (available from the 3CM Course Coordinator or online at [Client Handbook](#)) provides guidelines to support effective assessment, validation, moderation, and assessment appeals.

RELATED POLICIES

- Complaints and Grievances Policy
- Assessment Policy

ACCOUNTABILITIES

- Learning & Development Specialist (LDS)
- Managing Director

Authorising Officer

Chris Godwin
Managing Director

Schedule 1: Assessment Appeals Process

Stage ONE INFORMAL Appeal Process

Step 1	Client (student) is dissatisfied with an assessment decision
Step 2	Client (student) requests feedback from assessor regarding the assessment decision (or as close to the source as possible)
Step 3	Assessor notifies course coordinator and meets with client (student) to discuss situation. A written response is provided to the student and course coordinator within 3 days.
Step 4	Is the student satisfied with the outcome of the interview?
Step 5	YES – if there is a change of assessment decision (if any) is documented on LMS along with the record of interview
Step 6	NO – proceed to a Formal Appeal Process

Stage TWO FORMAL Appeal Process

Step 1	Client (student) makes a written appeal to the Learning & Development Specialist (LDS) within 14 days of results being presented.
Step 2	LDS will notify client (student) of receipt of appeal within 5 business days and request a meeting and/or report from the course coordinator regarding the matter.
Step 3	LDS will convene with MD within 15 business days of receipt of written appeal.
Step 4	A written statement from the LDS to the client (student) will summarise the outcome and decision (within 15 days).
Step 5	Is the client (student) satisfied with the outcome of the MD?
Step 6	YES – if there is a change of assessment decision (if any) is documented along with the record of the MD.
Step 7	NO – the client (student) has the option to escalate the appeal to the EXTERNAL Appeals Process

Stage THREE EXTERNAL Appeal Process

Step 1	Appeal is referred to the Western Australian Ombudsman's office The Ombudsman resolves complaints about the decision making of public authorities and aims to improve the standard of public administration. Complaints/Appeals must be made in writing to:- Ombudsman Western Australia PO Box Z5386, St Georges Terrace, PERTH WA 6000. OR mail@ombudsman.wa.gov.au
	The Western Australian Ombudsman will only consider whether 3CM has followed its own policies and procedures and whether the handling of your complaint/appeal has been fair and reasonable
Step 2	3CM is notified of external decision.
Step 3	3CM's Managing Director & LDS present external findings and recommendations, along with the rectifications to 3CM's Management
Step 4	3CM's Managing Director will consider external recommendations and communicate the decision with supporting reasons in writing to all parties involved within 2 weeks.