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RTO REGISTRATION NO. 0182



ASSESSMENT 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)
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Next Review Date	May 2020
Owner	Managing Director



PURPOSE

To ensure that 3CM School of Management assessment procedures meet the requirements of the endorsed Training Packages and outcomes specified in accredited courses within 3CM School of Management Scope of Registration.

SCOPE

The Assessment policy is designed to ensure 3CM School of Management assessment practices are consistent with guidelines and policies issued through State and National Training Authorities and contained within the relevant National Training Packages.

PROCEDURE

KEY PRINCIPLES OF THE ASSESSMENT POLICY

This policy aims to ensure all staff and clients, have the opportunity to have their competencies assessed in a non-threatening and accessible environment. The principles underpinning assessment are:

Validity

- Assessments will cover the range of skills and knowledge required to demonstrate competency,
- Assessments are made against performance criteria and / or learning outcomes.

The assessors ensuring that assessments are conducted in accordance with the requirements of the Training Package achieve validity in assessment. They are to brief the client on the context and purpose of the assessment and provide all relevant information. All 3CM assessors are to ensure they remain current with their area of expertise and if not they are to organise and /or provide a Subject Matter Expert (SME) for the assessment.

3CM assessors are also to adopt a holistic approach to evidence gathering and are to collect sufficient evidence. 3CM assessors will utilise all material developed by the RTO throughout the assessment and are to report the outcomes to the manager on completion.

Reliability

- Assessors are competent in the national competency standards for assessors,
- Assessment practices are consistent.

Assessors ensuring that assessments are consistent between client-to-client and context-to-context achieve reliability in assessment. 3CM School of Management assessors are to seek guidance from other assessors/SME to ensure that their processes are sufficient.

3CM School of Management assessors are to monitor and review their assessment decisions to ensure continuous improvement in the processes.

Flexibility

- Assessment should cover both on and off the job competencies,
- Assessment procedures should recognise competencies regardless of how or where they have been acquired,
- Assessment will meet the needs of members and staff of the organisation.

Assessors ensuring that all assessments are flexible and take into consideration the requirements of the client as well as their workplace achieve flexibility in assessment.

3CM School of Management assessors are also to provide the opportunity for RPL/RCC.

Fairness

- Assessment practices and methods must be equitable to all clients
- Assessment criteria must be clearly understood by all clients and published for each course must involve members through a participatory approach,
- Pathways must exist for assessments to be appealed and an allowance for reassessments to be made if necessary.

The assessors ensuring that all requirements of the assessment are briefed to the client prior to the assessment and that procedures are understood achieve fairness in assessment.

3CM School of Management assessors are to provide for special needs during the assessment process and are also required to provide the opportunity for review of the assessment decision.

Objectives of the Assessment Policy

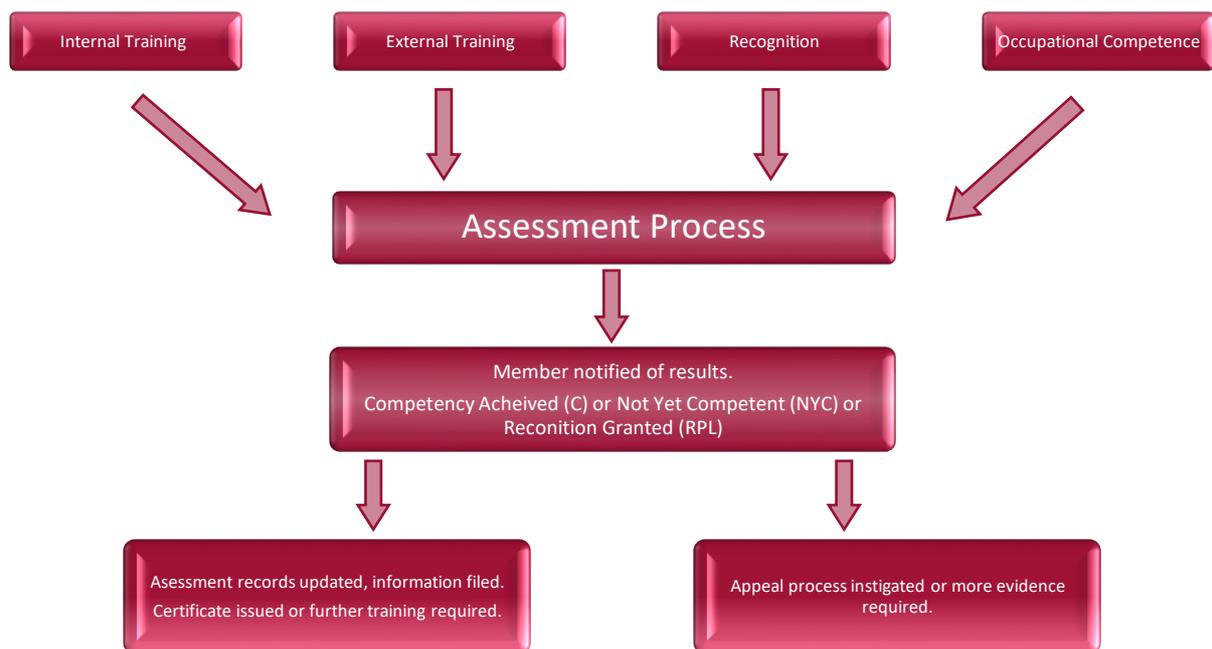
- The assessment policy is designed to:
- Meet the needs of clients / stakeholders / staff of 3CM School of Management,
- Provide guidelines for 3CM School of Management assessors,
- Meet 3CM School of Management obligations to;
 - i. SRTO 2015
 - ii. Australian Qualification Framework (AQF)
 - iii. Training Accreditation Council (TAC)
- Meet the Organisational commitments and obligations to Access & Equity
- Standardise assessment procedures.

Assessment Model

Assessment may be defined as:

"The process of collecting evidence and making judgements on the nature and extent of progress towards the performance requirements set out in a standard, or a learning outcome, and at the appropriate point making the judgement as to whether competency has been achieved".

Assessment is about collecting evidence, and interpreting that evidence, in order to make a decision about competency. Competency based assessment is a system of collecting evidence, about a person's performance to a pre-set competency standard. The emphasis is placed on what a person can do (outcome), rather than comparing a person's achievement to others. There is no concept of pass or fail, ONLY competent (C) or not yet competent (NYC). The learning is focused and allows for far greater participation of the learner in the assessment process.



There are three levels of assessment:

Diagnostic assessment is where evidence is collected to diagnose a performance problem or training need. It is often administered prior to learning and practice.

Formative assessment assists and supports learning by monitoring and advising candidates of the quality of their performance and their rate of progress towards the achievement of the learning outcomes. This provides feedback to the learner; supervisor and trainer on what further development activities are needed to achieve the required competencies or learning outcomes.

Summative assessment generally means a final determination of whether the intended learning or development has been achieved. An example is an end of course exam, which tests whether the trainee has achieved the learning outcome. When assessing competencies, a summative assessment, often conducted in the workplace, is used to confirm that competency has been achieved. Once it has been confirmed that the candidate has satisfied the competency requirements, they are awarded the relevant Statement of Attainment or Qualification.

The results of assessments are recorded as:

- Competent (C), or
- Not yet competent (NYC).

Assessment can take place in many different ways and not limited to:

- On-the-job,
- As part of training,
- In exercises, and
- As part of recognition of current competency or prior learning.

Coverage of Policy

This assessment policy is designed to cover:

- Accredited training provided internally by 3CM School of Management or its contractors
- Accredited training provided externally by 3CM School of Management or its contractors
- Skills Recognition (RPL) assessments conducted by 3CM School of Management

3CM will develop, review and continuously maintain assessment and certification procedures benchmarked against identified Registered Training Organisation best practice assessment systems.

3CM School of Management will ensure:

- All appointed and authorised Workplace Assessors achieve and maintain qualifications at the Department of Education Employment and Workplace Relations (DEEWR) endorsed standards
- All assessments conducted within 3CM are benchmarked against DEEWR endorsed National Industry Standards where existing
- Assessors establish an assessment plan for all assessments conducted, after negotiations are undertaken with the key target group at an individual level
- Assessors provide information to learners/training participants on the assessment process prior to assessments being conducted
- Assessors incorporate the key assessment principles including validity, reliability, flexibility and fairness when conducting assessments
- Assessors incorporate the dimensions of competence in all assessments conducted
- Assessment processes provide for Recognition of Prior Learning (RPL) regardless of where these have been acquired
- An effective feedback mechanism is established and implemented to inform learners/training participants on their assessment progress and results
- An effective recording and reporting process at the unit of competency level with:
 - i. Access to information by participants on their own records
 - ii. Security and confidentiality of outcomes to others unless authorised by management
- Candidate access to an open, equitable and transparent appeals process
- Awards of qualifications only made in accordance with 3CM current Training Accreditation Council approved RTO Scope of Registration as listed by National Information Training Service

- Ongoing internal monitoring and evaluation of the assessment system for quality control checks at two levels:
 - i. Operations level – assessor(s) adherence to national assessment and endorsed training package competency standards
 - ii. Management level – of 3CM compliance with Training Accreditation Council approved Registered Training Organisation specifications

Management and staff participation in an independent (external auditing) quality control process conducted by Training Accreditation Council or its appointed agents

The Role of the Assessor

The primary role of the assessor is to objectively assess and judge a candidate's knowledge and evidence of competence against a set of standards. In essence, an assessor must:

- Ensure the safety of the personnel involved in the assessment activity is maintained at all times
- Interpret and understand the performance criteria and evidence guides
- Select appropriate assessment methods
- Select and/or develop appropriate assessment materials
- Ensure that evidence meets the standards
- Ensure that the evidence is valid, authentic, consistent, current and sufficient
- Make fair and objective judgements

Assessor Requirements

This policy is intended to be a guide to all assessors within 3CM School of Management. In order to initiate assessment of learning outcomes, occupational competencies and recognition of prior learning, assessors must have:

- Accredited assessment competencies as determined by the National Quality Council or its successors
- Have relevant vocational competencies at least to the level being Candidates
- Can demonstrate current industry skills directly relevant to the assessments they undertake
- Continue to develop their VET knowledge and skills as well as their industry currency and assessor competence.

Recording Assessment Outcomes

3CM School of Management has responsibility for recording assessment outcomes and for maintaining and securing assessment records in a permanent and accessible system.

Assessment records are processed in accordance with Records Management, Privacy and Issuing of Qualifications Policy.

Appeals Process

In accordance with the [Assessment Appeals Policy](#)

Access and Equity Guarantees

In accordance with the [Access and Equity Policy](#)

Recognition of Prior Learning

In accordance with [RPL Policy](#)

Assessors Code of Conduct

Assessment specialists have developed an international code of ethics and practice (The National Council for Measurement in Education (NCME)). The Code of Practice below is based on the international standards.

- The differing needs and requirements of the person(s) being Candidates, the local enterprise(s) and/or industry are identified and handled with sensitivity.
- Potential forms of conflict of interest in the assessment process and/or outcomes are identified and appropriate referrals are made, if necessary.
- All forms of harassment are avoided throughout the planning, conduct, reviewing and reporting of the assessment outcomes.
- The rights of the candidate(s) are protected during and after the assessment.
- Personal or interpersonal factors that are not relevant to the assessment of competency must not influence the assessment outcomes.
- The candidate(s) is made aware of rights and processes of appeal.
- Evidence that is gathered during the assessment is verified for validity, reliability, authenticity sufficiency and currency.
- Assessment decisions are based on available evidence that can be produced and verified by another assessor.
- Assessments are conducted within the boundaries of the assessment system policies and procedures.
- Formal agreement is obtained from both the candidate(s) and the assessor that the assessment was carried out in accordance with agreed procedures.
- Assessment tools, systems, and procedures are consistent with equal opportunity legislation.
- The candidate(s) is informed of all assessment reporting processes prior to the assessment.
- The candidate(s) is informed of all known potential consequences of decisions arising from an assessment, prior to the assessment.
- Confidentiality is maintained regarding assessment results.
- Results are only released with the written permission of the candidate(s).
- The assessment results are used consistently with the purpose explained to the candidate.
- Self – assessments are periodically conducted to ensure current competencies against the Assessment and Workplace Training Competency Standards.
- Professional development opportunities are identified and sought.
- Opportunities for networking amongst assessors are created and maintained.
- Opportunities are created for technical assistance in planning, conducting and reviewing assessment procedures and outcomes.
- A minimum of three years of delivering and assessing management/leadership development programs.

ENFORCEMENT AND CONSEQUENCES

Breaches of this policy will be considered serious and employees may be subject to disciplinary action and/or performance management up to and including termination of employment as a result.

Authorising Officer

Chris Godwin
Managing Director